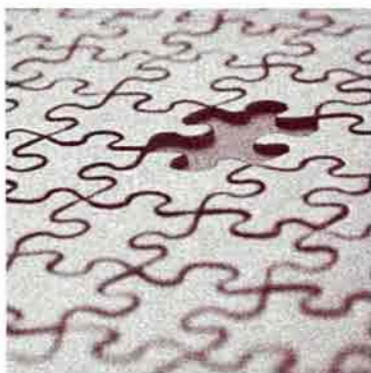


DIST



**ROCKEFELLER BROTHERS FUND**  
**Annual Report 1998**





ROCKEFELLER BROTHERS FUND  
Annual Report 1998



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## A Message from the Chair

During the nineties, the Rockefeller Brothers Fund (RBF) has been committed to promoting at home and abroad democratic values and civil society, environmental protection, equitable sustainable development, education, a healthy nonprofit sector, and peace. In all its grantmaking the RBF is mindful of the principles of global interdependence and the need for integrated problem solving that recognizes the interrelation of humanity's social, economic, and environmental goals. The resources and capacities of the Fund have continued to expand, and during the year 1998 there were a number of significant developments.

As a result of careful management by the Finance Committee, the Fund's real assets have grown 21 percent during the period 1990-1998. This has enabled the Fund regularly to increase its grantmaking budget, which was expanded from \$10.8 million in 1997 to \$12.5 million in 1998. In addition to grant payments in 1998, the Fund expended \$3.8 million for direct charitable activities. These include in-house administration of a fellowship program for minority students entering the teaching profession, and maintenance of the Pocantico Historic Area for public visitation and philanthropic conferences. Also included are contributions of staff time to activities that increase the capacity and support the work of grantee organizations and other nonprofit entities.

During the month of June the RBF moved its offices to more spacious quarters in midtown Manhattan, where it was able to take advantage of lower rental rates. In the Fund's new headquarters, the lighting systems, plumbing fixtures, floor coverings, and wood wall paneling have been designed to conform to environmentally responsible standards of construction. The new space includes a state-of-the-art conference room where, for the first time, the full board and staff can meet in the Fund's offices. This room is also available for use by grantees and other non-profits with programs related to the goals of the RBF. The Asian Cultural Council (which is affiliated with the RBF), the Environmental Grantmakers Association, and the Rockefeller Family Fund share the new office space with the RBF.

In 1996 the RBF brought to an end its existing World Security program and undertook a two-year study of how best to approach the issue of global security in a post-Cold War world. The objective of the RBF study, which was completed in 1998, was both to contribute to the larger public debate about the nature



STEVEN C. ROCKEFELLER, Chair of the Rockefeller Brothers Fund.

of security and to develop guidelines for a new RBF program in this area. The collaboration between trustees and staff in the course of this review was very productive. The President's Report and the Global Security program section in this annual report discuss more fully the outcome of the world security review and its relationship to the promising Global Interdependence Initiative that was formally launched, with RBF support, in 1998.

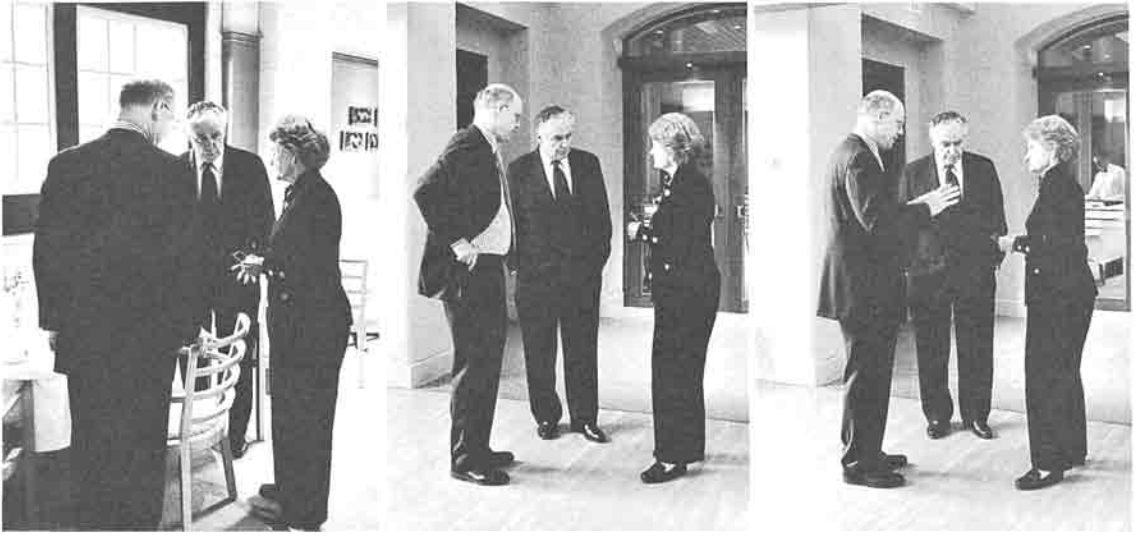
The goals of the RBF's largest grantmaking program are environmental protection and sustainable development. Special attention is given to global issues such as climate change and biodiversity preservation; in addition, the Fund concentrates on two geographical regions, Central and Eastern Europe and East Asia. Among the RBF initiatives in 1998 were support for a post-Kyoto strategy to educate Americans about global warming and the economic benefits of decreasing use of fossil fuels. Funding also went to international schemes designed to promote certification of sustainably managed forests and to efforts to integrate environmental goals into the mission of the World Trade Organization.

The East Asian sustainable development program was reviewed by the trustees in 1998, and new strategies were adopted under which the Fund will focus on integrated watershed planning in the Mekong basin; capacity building in coastal management in Indonesia and the Philippines; sustainable agriculture in Guangdong Province, China; and the social and environmental implications of East Asia's integration into the global economy. A special focus will be maintained on effective management of the environmental and social problems created by unsustainable shrimp aquaculture. With RBF support, the first National Convention on Integrated Coastal Management was held in the Philippines, and the Industrial Shrimp Aquaculture Network was established to promote effective NGO collaboration.

In response to growing consumerism and an increasing number of well financed but unsustainable development schemes in Central and Eastern Europe, the RBF has continued its efforts to promote sustainability and democratic values by strengthening the capacity of indigenous citizen groups and NGOs. As foreign funding for NGOs has been shrinking in the region, the RBF has worked to identify and create new sources of funding, helping to establish, for example, a proposed new Trust for Civil Society in Central and Eastern Europe.

For a number of years the RBF has had a special commitment to promote democracy and equity in South Africa by improving the quality and accessibility of basic education for children and adults. This program was evaluated and refined in 1998 with the assistance of South African education experts. The new guidelines reflect new opportunities and challenges in post-apartheid South Africa. The Fund will continue to support innovative basic education models, improved teaching in lower primary schools, and capacity building for nonprofits in the basic education field. In addition, there is a fresh focus on program evaluation, cross-sectoral collaboration, and financial self-sufficiency for educational nonprofits.





Steven C. Rockefeller (left) with RBF president Colin G. Campbell and Abby M. O'Neill, a trustee and former chair of the Fund.

The RBF concentrated its education grantmaking in the U.S. on programs designed to promote leadership development. This focus on educational leadership provided the Fund with an opportunity to bring the two main strands of its education program—increasing the numbers and excellence of minority teachers and improving training programs for teachers in early childhood education—into closer alignment. A Program for Educational Leadership was instituted as a new phase of the RBF's fellowship program for minority students entering the teaching profession. In the field of early childhood education, the Fund made a set of grants designed to identify and encourage prospective leaders who are committed to bringing about broad changes in the field and have the ability to advocate persuasively for high-quality services for young children.

New York is the only state in the Northeast without a statewide brownfields program that provides clear guidelines and incentives for the private voluntary cleanup of contaminated sites, most of which are in poor communities and old industrial areas. One of the most significant initiatives of the RBF's New York City program in 1998 was the convening of the Pocantico Roundtable for Consensus on Brownfields. The Roundtable brought community leaders together with business, environmental, legal, and local and state government representatives. A consensus has been reached on critical issues, creating an opportunity to initiate hundreds of community-based cleanup projects. Also in 1998, the program focused on building neighborhood constituencies for school improvement and for preservation and reclamation of open space along the city's extensive waterfront and in other areas.

In its program to promote the health and vitality of the nonprofit sector, RBF grantmaking supported initiatives designed to clarify and articulate a clear vision of the nature and purpose of the sector and to strengthen its capacity to respond creatively to social and legislative change. The Fund has been particularly concerned to support projects that promote the accountability of foundations and other nonprofit institutions. In this regard it has provided funding to improve the quality and accessibility of information about foundations and nonprofits, including efforts to ensure that the information nonprofits make available to the public (for example, on IRS Form 990) is more accurate and complete.

The RBF Pocantico Conference Center completed its fifth year of successful operation in 1998. Much has been learned over this period about how to take full advantage of the center's unique facilities. The demand for use of the center continues to increase, and the total number of conferences held rose from thirty-two in 1997 to fifty-seven in 1998. Eight of these conferences were organized by the RBF program staff. The RBF funded fourteen of the conferences and contributed to the funding of an additional eight.



A total of 1,285 people participated in the meetings held at the center, which has proven to be an invaluable new resource that can be used very effectively to advance the objectives of the Fund.

1998 will be remembered as the year when the decision to merge the RBF and the Charles E. Culpeper Foundation crystallized, and the process of planning the merger began in earnest. The idea of a merger was first proposed by the trustees of the Culpeper Foundation, who were facing a number of critical decisions about the future of their foundation. There are no surviving descendants of Charles E. Culpeper. Colin Campbell, who served as both president of the RBF and vice-chairman of the Culpeper Foundation, initiated discussions about a possible merger with the RBF board. After several months of deliberations, the trustees of the two foundations enthusiastically embraced the idea of a merger as a way the two foundations could achieve more effective and efficient grantmaking in the future.

Like the RBF, the Culpeper Foundation has an education program, and it also has programs in health and arts and culture. At the end of 1998, it had an endowment of \$207.7 million. It was decided that the merged foundations would operate under the name of the Rockefeller Brothers Fund and that the major grantmaking programs of both foundations would be integrated. The Culpeper name would be retained in connection with certain programs. It was also agreed that at the time of the actual merger in 1999, four members of the Culpeper Foundation board would join the RBF board and that several members of the Culpeper staff would join the RBF staff at its new headquarters in New York City. The tradition of Rockefeller family leadership of the RBF board would not be altered.

\* \* \*

In the course of the June 1998 board meeting, the trustees and staff of the Fund celebrated Abby O'Neill's six years of service as chair of the board with acknowledgment of her outstanding leadership and expressions of deep appreciation. Ambassador William H. Luers stepped down as a trustee in June after serving three three-year terms, the maximum permitted by the by-laws, and in recognition of his exceptional contributions to the work of the Fund, he was elected an advisory trustee. Russell E. Train was re-elected as an advisory trustee. Four new trustees were elected to the board: Jessica P. Einhorn, Neva R. Goodwin, Robert B. Oxnam, and David Rockefeller, Jr.

On the occasion of his retirement, Russell A. Phillips, Jr., who joined the Fund in 1968 and who had served as executive vice president of the Fund since 1982, was honored for his many outstanding contributions to the RBF. Russell's leadership, wisdom, and skill as an administrator and grantmaker will be greatly missed. In September of 1998, William F. McCalpin returned to the RBF after seven years at the MacArthur Foundation to assume the position of executive vice president and chief operating officer.

The RBF is today a dynamic, growing institution. I am especially grateful for the service of my fellow trustees, for the exceptional leadership of the Fund's president, Colin Campbell, and for the creativity and dedication of the Fund's staff. The current vitality of the Fund is importantly due to effective collaboration between board and staff. A major new challenge ahead involves the merger with the Culpeper Foundation. The joining together of these two institutions will provide an opportunity for the RBF trustees and staff to review and clarify the Fund's programs and to renew the Fund's commitment to building a just, sustainable, and peaceful world.

*Steven C. Rockefeller*

## President's Report

*"In the past, domestic concerns and pressures have dominated the pattern and orientation of international arrangements. For the present and future, global needs and imperatives will increasingly shape and constrain our domestic arrangements...."*

*"No period has offered such a compelling opportunity for Americans of independent mind and action to participate in the development of new global relationships. In these circumstances a primary objective of an independent philanthropic foundation must be to contribute ideas, develop leaders, and encourage institutions in the transition to global interdependence."*

The date was October 1983; the context, a report by the Planning Committee of the Rockefeller Brothers Fund, which had been charged with reviewing the Fund's programs and recommending new grantmaking strategies and objectives. The

report went on to propose the adoption of a global theme, called "One World," that has embodied the Fund's (and the Rockefeller family's) traditional interest in international affairs and linked the RBF's programs in sustainable resource use and world security for the past fifteen years.

But the words above might well have been written in the winter of 1998–99, when another RBF program review culminated in the formulation of new guidelines for Global Security grantmaking, and when the Fund took concrete steps, in collaboration with the Aspen Institute and the Benton Foundation, to launch a Global Interdependence Initiative designed to build stronger domestic constituencies for cooperative international engagement. Prophetic both as to geopolitical trends and the challenges they would pose, the Planning Report of fifteen years ago also relied on a key phrase and notion—"global interdependence"—that has since become even more central to the Fund's understanding of international affairs and its approach to international grantmaking.

A great deal has been written and said about "globalization" in recent years, with more analyses and reflections certain to come. And rightly so, since that word captures the force and novelty of a remarkable confluence of rapid, cross-boundary changes—economic, social, political, and technological—which while they offer new opportunities for achieving international stability and prosperity, also strain the capacity of states to govern and of nature to provide. When we speak of globalization at the RBF,



COLIN G. CAMPBELL, President of the Rockefeller Brothers Fund.

however, we have also continued to assert that the notion of global *interdependence* highlights important aspects of today's complex and uncertain world; in fact, this notion points to some of the problems and solutions that the RBF regards as most critical to the peaceful management of globalization's changes.

Interdependence, the explicit theme of the Global Interdependence Initiative, is thus a pervasive, implicit theme in the Fund's new Global Security program. In brief (see page 44 for complete program guidelines), the Global Security program seeks "*to contribute to the emergence of a more just, sustainable, and peaceful world by improving the cooperative management of transnational threats and challenges*" — transnational threats being those that transcend national boundaries by virtue of their scale or because their impact is distributed across borders, whether to neighboring countries or more widely around the world. The chief Global Security program strategies are:

- **CONSTITUENCY BUILDING** — because strong domestic constituencies for cooperative international engagement enable governments, civil society organizations, and corporate actors to participate more effectively in transnational problem solving;
- promoting **TRANSPARENCY AND INCLUSIVE PARTICIPATION** in transnational policymaking—because the open, candid exchange of information and perspectives among a broad range of actors is critical to strengthening and legitimating policy processes that have widespread impact on people's lives and on the environment; and
- addressing the **CHALLENGE OF ECONOMIC INTEGRATION** — because in all of the geographic areas where the Fund is active, trends of regional and global economic integration have crucial implications for efforts to achieve the goals of justice, sustainable development, and peace.

What does it mean to suggest that interdependence is a central theme in this new RBF program? How is interdependence relevant to security in the post-Cold War world, and how is that relevance reflected in the Fund's current approach to security grantmaking? The interdependence of nations and communities is one factor to be considered; the interdependence of various kinds of actors in the global arena—including, importantly, both state and non-state actors—is another; a third is the interdependence of the very issues and challenges that comprise "security." These considerations are necessarily overlapping, but the implications of each are worth reviewing separately.

## **THE INTERDEPENDENCE OF NATIONS, COMMUNITIES, ECONOMIES, AND ECOSYSTEMS**

As the scholars and policy shapers involved in the Fund's recently completed Project on World Security reminded us repeatedly during our two-year program review, one of the most significant implications of globalization is the increased permeability of national borders—to flows of money and ideas, people and goods, not to mention diseases, weapons, and crime. To an unprecedented extent today, what happens in one particular country or part of the world may have enormous implications for other countries and regions, both near and distant (the Asian financial crisis offers an obvious example). Thanks to revolutions in information technology and transportation and to economic forces, international trends, events, and policies can have more or less immediate impacts on communities across the globe; in turn, local activities and choices (about energy use or consumer purchases, for example) have the potential to exacerbate or ameliorate global problems. What the RBF's 1983 Planning Committee identified as a growing "convergence of national and international frames of reference" has accelerated beyond anyone's imagining.

At the same time, the end of the Cold War has exposed a set of long-range, underlying tensions and challenges in the context of which national boundaries seem less relevant, or at least only partially





Colin G. Campbell and Steven C. Rockefeller, chair of the RBF, at the Pocantico Conference Center of the Rockefeller Brothers Fund.

relevant. These include ethnic conflict, the profound and growing inequities between the world's haves and have-nots, and the consequences of environmental degradation, including climate change. Such challenges tend to ignore borders, threatening not only nation-states but also communities and cultures, ecosystems and resource bases, regional and global economies.

The world, then, is becoming more tightly integrated, in ways that are both enriching and endangering. The RBF is hardly alone among international grantmakers in acknowledging the reality of this kind of interdependence in its grantmaking—although the Rockefeller family members and other trustees who served on the 1983 Planning Committee must be credited with considerable prescience for asserting the importance of this trend nearly two decades ago. The Fund's new Global Security program focuses explicitly on enhancing understanding and improving the management of *transnational* challenges and threats. Not only does the world face an increasing array of such challenges, but these are also the challenges with which existing national and international governance arrangements, based on the primacy of states and the state system, are least well equipped to cope. In choosing to focus on the broad category of transnational threats, the RBF signals its awareness of the importance of regional and local interdependencies, which must be considered as part of any effective international problem-solving effort, and of the linkages among local, regional, and global problems and solutions.

This more integrated world also requires an emphasis on *cooperative* approaches to the management of threats and challenges. After all, traditional notions of “winners” and “losers” have little meaning, in the long run, when boundaries are permeable and fates are intertwined. This assumption about the need for





Colin G. Campbell and Jessica P. Einhorn, a trustee of the Fund.

*constituency building*, which will focus initially on the United States. The Fund's commitment to the Global Interdependence Initiative, a long-range public and policymaker education effort that involves foundations, NGOs, multilateral agencies, and business, is the centerpiece of this strategy.

Because global integration involves nations and communities in a complex new web of relationships and interactions, effective cooperation may also depend on the existence of shared basic values and fundamental norms. While the *process* of globalization, as such, is intrinsically indifferent to questions of fairness or to the fate of those unable to benefit from its sweep, the *relationship* of global interdependence cannot afford to be indifferent to these questions; like most relationships, it requires what a recent UNESCO report calls an "ethical orientation," if its benefits are to be fully realized. Through the Global Interdependence Initiative and other constituency-building efforts, therefore, the RBF will seek to increase general understanding of the ethical as well as the practical implications of global interdependence, linking transnational issues to personal values such as compassion, responsible stewardship, and justice.

#### THE INTERDEPENDENCE OF INTERNATIONAL ACTORS

Both the RBF's own Project on World Security and the program of research on transnational governance supported by the Fund for the past two years at the Carnegie Endowment of International Peace concluded that new and reformed transnational governance arrangements will be required to respond to the challenges that confront an increasingly interdependent world. Again, the Fund's 1983 Planning Report presaged this concern about the adequacy of existing international structures: "The post-World War II

cooperation is also reflected in the design of the RBF's new Global Security program, where certain of the strategies attempt to answer the question, what are the preconditions of effective cooperation in transnational problem solving? One precondition of effective cooperation would surely be the candid exchange of information and perspectives among as broad as possible a range of participants in problem solving; hence the Fund's interest in supporting efforts to promote *transparency and inclusive participation* in transnational policymaking. Another precondition, which bears directly on the U.S. role in transnational problem solving, would be the existence of a broad domestic consensus about the need for and benefits of cooperation in an interdependent world. Articulating and communicating this perspective and building consensus around it are the aims of the RBF's strategy of

institutions and policies that have served well for half a century to promote worldwide development and to maintain general stability seem now to work less well. ... More effective international structures are needed...to reduce global division and tension.”

What the authors of that report could not have foreseen was the remarkable multiplication and growing influence of non-state actors on the global policy scene. State-based “international structures” have seen their effectiveness and legitimacy erode not only because the challenges they face are often ill-matched to the scope and reach of nation-state authority, but also because these structures were not designed to accommodate the contributions or mobilize the special strengths of the many new, non-state actors that have shown themselves to be capable of playing important roles in transnational problem solving. Among these new actors are a host of civil society organizations, from local grassroots groups to national policy think tanks to international humanitarian and development organizations. Their role in shaping, monitoring, and implementing international norms — through advocacy and public education — has become the subject of a burgeoning field of academic and applied analysis. Private sector corporations are also playing a critical role in implementing and monitoring international trade agreements and international standards (environmental and labor standards, for example), and in building market-based bridges among nations that are as powerful as traditional diplomatic ties. And the reach of individual citizens has been extended by information and transportation technologies, such that the combined effect of individual and separate choices — local choices — may contribute to the worsening or to the resolution of pressing transnational problems.

Nation-states and the international state system are, of course, key players in the global arena. But no single one of the new or traditional players in this arena is capable of addressing transnational problems on its own; each brings different strengths and weaknesses to the table. They are interdependent, as much as the territories, communities, and sectors they represent. Already these actors are beginning to collaborate, and the RBF believes that new and more effective partnerships must be encouraged. This conviction expresses itself in the Fund’s commitment to promoting *transparency and inclusive participation* in the development and implementation of transnational policy. Transparency and inclusiveness are important, in other words, not only because transnational policymaking in an increasingly interconnected world affects so many people’s lives and livelihoods (and therefore must be informed by many voices and interests), but also because effective transnational policymaking is not possible, in the long run, without the participation of a wide range of actors, whose capacities and knowledge bases are complementary and mutually reinforcing.

The interdependence of actors is also reflected in the Fund’s interest in the *challenge of economic integration*, especially in geographic areas where the Fund is already engaged (North America, East Asia, Central and Eastern Europe, and southern Africa). In pursuit of this interest, the RBF wishes to focus on how regional and local strategies for economic development — formulated by grassroots citizens’ groups working with national and transnational NGOs, academic centers and research networks, and business groups — might be reflected in more appropriate and sustainable regional and global processes of economic integration.

## THE INTERDEPENDENCE OF ISSUES AND CHALLENGES

So far, these reflections on interdependence and security have sidestepped the question of what security is, referring instead to the existence of pressing transnational threats and challenges and the need for improved cooperative management of those challenges. In fact, while almost everyone agrees that the “old” definition of security (the military security of the state) is too narrow to encompass today’s plethora of transnational threats and the multiplicity of actors — both state and non-state — now playing prominent roles on the international stage, no consensus has emerged around a formal “redefinition” of security.



But the recent proliferation of new terms such as human security, environmental security, and economic security, tells us that the security agenda (for debate, research, and policymaking purposes) has broadened dramatically, and the components of this agenda are perceived to be related to each other in complex ways. Transnational challenges as apparently diverse as ending severe poverty, strengthening civil society in regions where it is weak or suppressed, protecting ecosystems and conserving resources, tracking the emergence and spread of infectious diseases, exposing government corruption, halting nuclear proliferation, and controlling the light weapons trade have all been treated by respected scholars and policy analysts as security challenges. This suggests the evolution of a shared understanding, if not a shared definition: that “security” must be more than the defense of the state against military threat, and that unless some of these other aspects of security—human, environmental, economic—are also addressed, it will be impossible for states to provide even narrowly defined military security in any sustained way. As UN Secretary-General Kofi Annan reminded his audience at the Economic Forum in Davos, Switzerland, in January 1999, all the “isms” that threaten the world with violence today (including nationalism, ethnic chauvinism, fanaticism, and terrorism) have one thing in common. They “exploit the insecurity and misery of people who feel threatened or victimized.... The more wretched and insecure people there are, the more those ‘isms’ will continue to gain ground.”

The RBF’s 1983 Planning Report made the same point: “While competing political philosophies... can disrupt the peace, we also believe the insecurity which derives from not sharing fully in the goods and services produced by the world economy is a key source of frustration and aggressive acts.” In fact, while experts still disagree over how much to broaden the definition of security, a broad definition of “insecurity”—and a recognition of its danger—has been around for a long time.

Without attempting to redefine security, the language of the RBF’s new grantmaking program equates it with “the emergence of a more *just, sustainable, and peaceful* world.” Linking these three ideals as aspects of security is our way of saying that “security itself is interdependent,” to borrow a phrase from Ambassador Juan Somavia, newly appointed head of the International Labor Organization and one of the chief architects of the 1995 World Summit for Social Development in Copenhagen. And indeed, the new RBF program uses the title “Global Security” to embrace interests that range far beyond military threats and the needs of nation states. By placing these interests under the rubric of security, the RBF means to assert that security today has multiple dimensions and that those dimensions are profoundly interdependent.

Furthermore, if military security, environmentally and socially sustainable economic development, and equitable human development are mutually reinforcing goals, then our efforts to achieve them must become more comprehensive and integrative. We must consider the impact of transnational dangers and transnational policymaking not only on states and national economies but also on the quality of people’s daily lives and the integrity of the natural environment. We must emphasize approaches and solutions (to the regulation of trade or integration of economies, for example) that consider and attempt to balance, even if they cannot fully address, the *multiple goals* of justice, sustainable development, and peace. This is not to suggest that every policymaking entity or policy regime could or should seek to solve all of the interdependent problems of security all of the time. But it is to suggest that “silo thinking”—making decisions about economic policy, for example, as if they did not have complex social and environmental implications—is deeply inappropriate in an interdependent world, a world of interdependent security goals that must be balanced if the overall goal of global security is to be achieved.

How is this kind of interdependence reflected in the Global Security strategies that have been mentioned so far? *Economic integration*, one of the focal points of the new RBF program, may be said to be a challenge

precisely because of the complex interdependence of economic development with social, political, and environmental concerns. When issues and goals are linked, cutting across disciplinary and sectoral lines, their consideration involves the incorporation of multiple perspectives and the promotion of holistic thinking; under these circumstances, *transparency and inclusive participation* become even more vital ingredients in effective problem-solving.

As for the Fund's interest in *constituency building*, whether expressed through the Global Interdependence Initiative or other kinds of grantmaking, it will involve reaching out to many different, issue-specific constituencies, focused (for example) on the environment, children's health, labor and business concerns, foreign aid, humanitarian assistance, community development, women's rights, or basic education. It is our belief that the U.S. public's lack of understanding of the relationship among these kinds of issues — a lack of understanding which may be fostered not only by the media's episodic and crisis-driven coverage of international events but also, although inadvertently, by the passionate, single-issue focus of many NGO campaigns — is a factor in the lack of strong and vocal public support for more cooperative, more balanced approaches to international engagement on the part of the United States. Without a broad public and political understanding of the interdependent goals of modern security, it will be difficult for this country to formulate and apply a new conceptual framework — a post-Cold War framework — for its role in a changing world. The new "constituency" we envision and hope to help build is a movement that links sectors and interest groups, draws on shared fundamental values and concerns, and will raise its



RBF trustees and staff at the Pocantico Conference Center.



voice across a range of issues to urge a stronger U.S. commitment to action in achieving the mutually reinforcing goals of global justice, sustainable development, and peace.

## CONCLUSION

The authors of the 1983 Planning Report concluded that “the broad goals of the Fund should remain intact, but its strategies should be changed. To pursue effectively the improvement of human well-being, the Fund must acknowledge the increasingly interdependent state of the world.” The RBF’s new approach to security grantmaking, embodied in its Global Security program, is similarly evolutionary. While it breaks significant new ground for the Fund, it is also well within the RBF’s tradition of addressing broad issues of lasting concern; focusing on local problems and solutions in the context of global conditions; and linking activities across programmatic areas. And it takes the RBF’s traditional theme of interdependence and carries this theme further, emphasizing not only the interdependence of nations and peoples but also that of the growing number and variety of participants in transnational problem-solving, and of the very issues and challenges that make up security today.

*Colin G. Campbell*

ABOUT THE ROCKEFELLER BROTHERS FUND





The Rockefeller brothers and sister in Seal Harbor, Maine, 1960. From left to right: John D. Rockefeller 3rd, Winthrop Rockefeller, Abby Rockefeller Mauzé, Laurance S. Rockefeller, David Rockefeller, Nelson A. Rockefeller.

*“Over the years in our efforts we have been inspired by the contribution which you and Grandfather made to the well-being of mankind.... This new gift to the Rockefeller Brothers Fund is in such substantial proportions that it is a challenge of the first order.... It opens up new vistas of opportunity and usefulness which we had not dreamed of before. At the same time it gives us a great sense of gratification to have this tangible evidence of your confidence.”*

— From a letter dated May 28, 1952, in which the Rockefeller brothers thank their father on the occasion of his gift endowing the RBF

# About the Rockefeller Brothers Fund



The Rockefeller Brothers Fund was established in 1940 as a vehicle through which the five sons and daughter of John D. Rockefeller, Jr., could share a source of philanthropic advice and coordinate their philanthropic efforts to better effect.

Comparatively modest in its early years, the Fund's endowment — and consequently its program of grants — grew substantially in the early 1950s, when it was the recipient of a large gift from John D. Rockefeller, Jr. In 1960, the Fund received a major

bequest from his estate. These gifts, which together constitute the Fund's basic endowment, enabled the RBF to increase the scope of its grantmaking.

Today, the Fund's major objective is to improve the well-being of all people through support of efforts in the United States and abroad that contribute ideas, develop leaders, and encourage institutions in the transition to global interdependence. Its grantmaking aims to counter world trends of resource depletion, conflict, protectionism, and isolation, which now threaten to move humankind everywhere further away from cooperation, equitable trade and economic development, stability, and conservation.

This basic theme of interdependence presupposes a global outlook and, hence, internationally oriented activity. While attention is focused on locally based problems and grantees, this is in the context of global concerns and not simply national ones. The Fund does not have the capacity to pursue its program theme in all parts of the world simultaneously and, therefore, projects are concentrated from time to time in different geographic regions. At present those regions include the United States, East and Southeast Asia, Central and Eastern Europe, and South Africa.

## ASSETS AND PHILANTHROPIC EXPENDITURES

The Fund's assets at the end of 1998 were \$462,854,803 and its 408 grant payments for the year amounted to \$12,305,343. Since 1940, the Fund has disbursed a total of \$473,784,510 in grants.<sup>7</sup> In addition, during 1998 the Fund expended approximately \$3.8 million on direct charitable activities—philanthropic activities carried out directly by the Fund itself. These included:

- conferences held at the Pocantico Conference Center of the Rockefeller Brothers Fund, which complement and extend the reach of the Fund's grantmaking;
- preservation and public visitation programs at the Pocantico Historic Area (site of the conference center), a section of the Rockefeller family estate that was donated to the National Trust for Historic Preservation and is now leased by the trust to the RBF, which maintains and administers the area as a public service;

<sup>7</sup> Financial data are also provided in this report for the Fund-affiliated Asian Cultural Council (described on pages 25–26).



## PHILANTHROPIC EXPENDITURES 1998

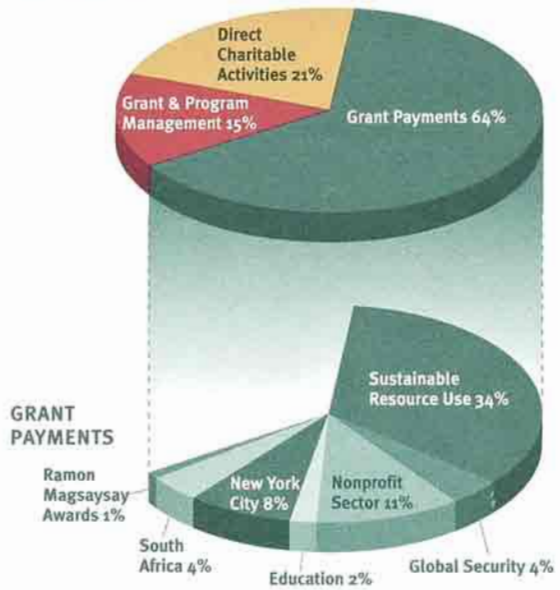
### GRANT PAYMENTS MADE IN 1998

One World: Sustainable Resource Use	\$6,236,000
One World: Global Security	802,500
Nonprofit Sector	2,127,550
Education	360,000
New York City	1,464,899
South Africa	677,000
Ramon Magsaysay Awards	270,000
<b>SUBTOTAL: GRANT PAYMENTS</b>	<b>\$11,937,949</b>

Payments Matching Employee Contributions	\$29,590
Grant & Program Management	2,834,804
Direct Charitable Activities*	3,803,144

**TOTAL PHILANTHROPIC EXPENDITURES \$18,605,487**

## TOTAL PHILANTHROPIC EXPENDITURES



\* Includes a special two-year Project on World Security, administration and operation of the RBF Fellowship Program for Minority Students Entering the Teaching Profession, preservation and public visitation programs at the Pocantico Historic Area, and conferences at the Pocantico Conference Center.

- a special two-year, staff-directed Project on World Security, which has helped to stimulate a broad dialogue on the changing nature of security in the post-Cold War world and has informed the design of the RBF's new Global Security program;
- administration of the RBF Fellowship Program for Minority Students Entering the Teaching Profession, which supports a cohort of approximately 150 outstanding young minority men and women (selected between 1992 and 1997) at various stages of preparation for or entry into public school teaching careers; and
- staff service on boards and advisory committees of other charitable organizations.

Grant and program management expenditures amounted to approximately \$2.8 million. In sum, the Fund's philanthropic expenditures in 1998 were \$18,584,631, as displayed in the charts above.

## GRANTMAKING PROGRAMS

The Fund makes grants in five areas (please refer to the program summaries that follow on pages 27-76 for formal grantmaking guidelines and additional details). The first and largest grantmaking area, "One World," has two components:



**Sustainable Resource Use** — This program is designed to foster environmental stewardship which is ecologically based, economically sound, culturally appropriate, and sensitive to questions of intergenerational equity. At the global level, the program seeks to advance international discussions on climate change and biodiversity preservation, and to support practical models that contribute to international agreements on these issues. With respect to climate change, the focus is on increasing public awareness and curbing emissions of greenhouse gases; with respect to biodiversity, an ecosystem approach is applied (in the terrestrial context) to temperate rainforests and (in the marine context) to fishery and coastal zone management. Encouraging the practice of sustainable forest management has become a significant global program focus. Within the United

States, the program focuses on model programs that further the Fund's global strategies and on building the national environmental constituency. In Central and Eastern Europe, the program seeks to strengthen indigenous capacity for addressing environmental problems. In East Asia, the focus is on assisting communities in their efforts to define and pursue locally appropriate development strategies, with particular attention to sustainable agriculture, coastal management, and integrated watershed planning as well as to the social and environmental effects of this region's integration into the global economy.



**Global Security** — Under new program guidelines, the Fund seeks to contribute to the emergence of a more just, sustainable, and peaceful world by improving the cooperative management of transnational threats and challenges. Strategies include building strong domestic constituencies for cooperative international engagement; promoting transparency and inclusive participation in transnational policymaking; and understanding and addressing the challenge of economic integration, both regional and global. In addition, the Fund retains flexibility to explore emerging transnational challenges that require new forms of cooperative management.

The Fund's other program interests are:



**Nonprofit Sector** — The goal of this program is to promote the health and vitality of the nonprofit sector, both nationally and internationally, by assisting in the development of the financial, human, and structural resources necessary to the sector; by encouraging greater accountability within the sector; and by promoting improved understanding of the sector and the roles it plays in society. Particular emphasis is placed on those geographic regions of the world where the Fund is engaged in other aspects of its grantmaking.



**Education** — Pending a review of past Education grantmaking and possible future program directions, the RBF is focusing on a single funding strategy: through Rockefeller Brothers Fund Fellowships and related programs, supporting a cohort of outstanding minority college students (Fellowship recipients from 1992 through 1997) as they undertake graduate teacher education, teach in public schools, and assume leadership positions in the field of public education.



**New York City** — The New York City program is designed to strengthen and enhance civil society in the Fund's home base by supporting efforts to build civic engagement and capacity in communities. Particular emphasis is placed on encouraging the development of constituencies for public education and fostering responsible citizenship among youth; assisting neighborhood-based projects that encourage respect and care for the physical and natural environment and that develop or reclaim public space; and supporting creative civic participation and inclusive public discourse, promoting accountability of institutions vested with the public trust, and forging a common sense of purpose within communities.



**South Africa** — This program seeks to improve the quality and accessibility of basic education for children and adults in South Africa, in the areas of early childhood development, lower primary learning, and adult basic education and training. In particular, the program focuses on supporting promising basic education models; advancing in-service teacher development; strengthening the institutional capacity of nonprofit organizations, university programs, and government agencies in the field of basic education; and helping nonprofits in this field attain financial self-sufficiency.



**Operational Touchstones** — Four operational “touchstones” are key considerations in the development of all grants. These relate to the Fund’s approach to its substantive concerns and are not specific areas of interest in and of themselves. The touchstones are:

**EDUCATION**—of key individuals, special target groups, and the general public.

**LEADERSHIP**—the identification and encouragement of a new generation of leaders, national and international; assisting contact among leaders and the development of leadership networks around specific areas of Fund program interest.

**LEVERAGE**—using combinations of trustees and staff as well as related organizations to work toward common goals in mutually supportive ways.

**SYNERGY**—developing clusters of interrelated projects so as to have an impact beyond the sum of the parts.

## OTHER PROGRAMS



**Pocantico Programs** — The Fund’s Pocantico programs are based in the Pocantico Historic Area, the heart of the Rockefeller family estate in Westchester County, New York, and were established when the Fund leased the area from the National Trust for Historic Preservation in 1991. The Pocantico Conference Center is the key component of these programs; it extends the reach of the RBF’s grantmaking through conferences and meetings that address central concerns of the Fund. In addition, the Pocantico programs provide public access to the Historic Area and carry out maintenance, restoration, and conservation projects in the area on behalf of the National Trust. (For Conference Center guidelines and additional program details, please see pages 77–84.)



**The Ramon Magsaysay Award Foundation** — The RBF provides significant support to the Ramon Magsaysay Award Foundation (see pages 85–88), which grants the annual Ramon Magsaysay Awards. These awards, named after the former president of the Philippines, were established with the encouragement of the Fund’s trustees in the late 1950s.

## HOW TO APPLY FOR A GRANT

To qualify for a grant from the RBF, as from most other foundations, a prospective grantee in the United States must be either a tax-exempt organization or an organization seeking support for a project that would qualify as educational or charitable. A prospective foreign grantee must satisfy an RBF determination that it would qualify, if incorporated in the United States, as a tax-exempt organization or that a project for which support is sought would qualify in the United States as educational or charitable.

A grantee must also be engaged in work that fits generally within the Fund’s guidelines, as described in this annual report. In addition, please note the following general and geographic restrictions.

**General Restrictions:** The Fund does not support building projects or land acquisition. Neither, as a general rule, does the Fund make grants to individuals; nor does it support research, graduate study, or the writing of books or dissertations by individuals.

**Geographic Restrictions:** The Fund’s Sustainable Resource Use and Global Security programs focus on North America; Central and Eastern Europe (Poland, the Czech Republic, Hungary, and Slovakia only, except for occasional cross-border or regional projects that involve one or more of these countries); and East and Southeast Asia. The Sustainable Resource Use program also includes the Russian Far East; the



Global Security program also includes southern Africa. The Nonprofit Sector program focuses primarily on the United States, with some attention to Central and Eastern Europe and East and Southeast Asia as well. The Education program is active only in the United States. Geographic restrictions for the New York City and South Africa programs are self-evident.

Although the RBF has made substantial gifts to organizations and programs in which it has considerable interest, most grants are between \$25,000 and \$300,000, often payable over more than one year but typically not more than three.

### **The Grantmaking Process**

A preliminary letter of inquiry is recommended for an initial approach to the Fund. Such a letter, which need not be more than two or three pages in length, should include a succinct description of the project or organization for which support is being sought and its relationship to the Fund's program, information about the principal staff members involved, a synopsis of the budget, and an indication of the amount requested from the Fund. Letters of inquiry should be addressed to Benjamin R. Shute, Jr., Secretary, at the offices of the Fund. The review of inquiries is ongoing throughout the year.

Each letter of inquiry to the RBF is reviewed by one or more members of the staff, who try to be prompt in notifying applicants if their plans do not fit the current program guidelines or budgetary restraints. If a project is taken up for grant consideration, staff members will ask for additional information, including a detailed proposal, and almost certainly for a meeting with the principal organizers of the project.

A detailed proposal, when requested, is expected to include a complete description of the purpose of the project or organization, the background and the research that have led to the development of the proposal, the methods by which the project is to be carried out, the qualifications and experience of the project's or organization's principal staff members, a detailed, carefully prepared, and realistic budget, and a list of those who serve as board members or advisers to the project. Attached to each proposal must be a copy of the organization's tax exemption notice and classification from the Internal Revenue Service, dated after 1969, and a copy of its most recent financial statements, preferably audited. Proposals from former grantees of the Fund will be considered only after earlier grants have been evaluated and grantees have submitted necessary reports of expenditures of those grants.

Grants are awarded by the trustees, who meet regularly throughout the year.

Fund grantees are required to submit financial and narrative reports at specified intervals and at the end of each grant period. In addition, RBF staff members follow projects along throughout the life of the grant and evaluate the project at the end of the period. The evaluations become part of the Fund's permanent records.

### **ADDITIONAL INFORMATION**

The Fund maintains a World Wide Web site at [www.rbf.org](http://www.rbf.org) that includes information about the Fund's program guidelines, descriptions of recent grants, and a list of currently available publications. Additional nonprofit sector resources can be found on the Links page of this Web site. Publications may be requested via e-mail at the following addresses:

**Annual Reports:** [anreport@rbf.org](mailto:anreport@rbf.org)

**Guidelines:** [guidelines@rbf.org](mailto:guidelines@rbf.org)

**Other Publications:** [publications@rbf.org](mailto:publications@rbf.org) (*occasional papers and press releases*)

The Rockefeller Brothers Fund submits grants information on a regular basis to the Foundation Center for inclusion in its publications, including *The Foundation Grants Index Quarterly* and *The Foundation 1000*. Foundation Center grants data are also available online via DIALOG. The Foundation Center maintains reference libraries in New York, New York; Washington, D.C.; Atlanta, Georgia; Cleveland, Ohio; and San Francisco, California; and Cooperating Collections in more than 200 locations nationwide provide a core collection of Foundation Center publications. Information about the location of Cooperating Collections can be obtained from the Foundation Center by calling 1-800-424-9836 (toll-free). The Foundation Center Web site, [www.fdncenter.org](http://www.fdncenter.org), contains additional information about Foundation Center materials and services.

## ASIAN CULTURAL COUNCIL

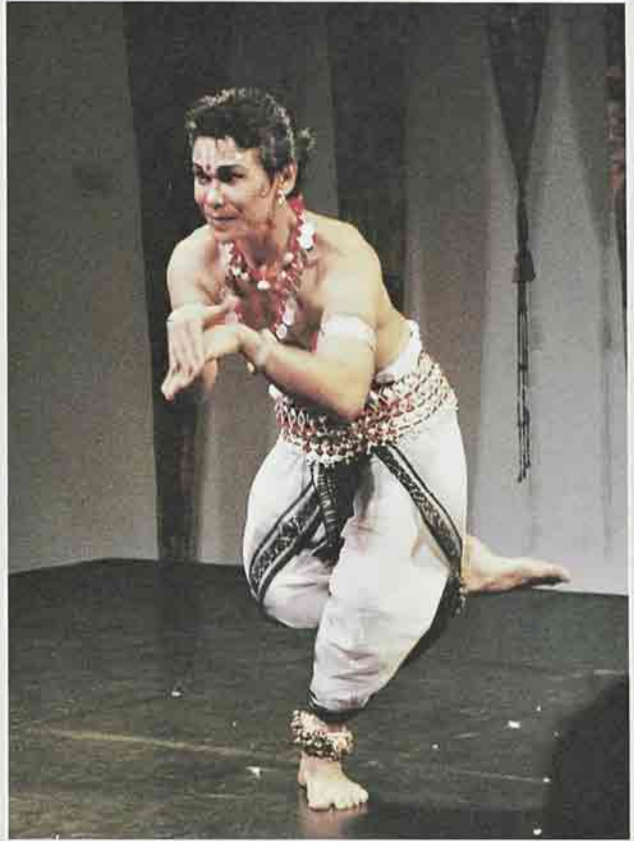
The Asian Cultural Council (ACC), a publicly supported operating foundation affiliated with the Rockefeller Brothers Fund, supports cultural exchange in the arts between the United States and the countries of Asia. The primary emphasis of the ACC's unique grant program, which marked its 35th anniversary in 1998, is on encouraging the professional development of artists, cultural specialists, and scholars from Asia by awarding individual fellowships for research, study, and creative work in the United States. Some grants are also made to Americans undertaking similar activities in Asia and to cultural and educational institutions involved in exchange projects.

The ACC's grant program was founded in 1963 by John D. Rockefeller 3rd as The JDR 3rd Fund. The program reflects Mr. Rockefeller's firm belief in the valuable and far-reaching contributions which talented individuals can make to society and in the important role which the arts can play in fostering international understanding. Following the death of Mr. Rockefeller, the Asian Cultural Council was established as a

public foundation to supercede and continue the work of The JDR 3rd Fund. This has been accomplished through the support of a broad base of donors, including individuals, corporations, foundations, and government agencies in the United States and Asia. The ACC became affiliated with the Rockefeller Brothers Fund in 1991 and moved to the RBF offices in 1992.

The Asian Cultural Council celebrated its 35th anniversary by bringing together a group of fifty ACC fellows from East and Southeast Asia in a conference with the ACC's trustees and Asian donors. The conference was held in October 1998 at the Cultural Center of the Philippines, in Manila. This event offered the ACC an unprecedented opportunity to review and evaluate the history of its program, to study the changing landscape of U.S.-Asia cultural relations, and to identify future program priorities that can best contribute to Asian-American exchange and to the growth of healthy arts communities in Asia. The conference reaffirmed the Council's fundamental commitment to supporting the training, education, international exposure, and professional development of talented individuals in the formative stages of their careers; in fact, it was evident that an exceptionally large number of ACC grantees have become cultural leaders in Asia. Through discussion sessions and exhibition and performance programs, the 35th Anniversary Conference also highlighted the issues and challenges which artists, scholars, and cultural specialists are addressing in their work in Asia today.

One theme that consistently emerged throughout the conference proceedings was the tremendous interest in and need for dialogue, collaboration, and exchange within the Asia-Pacific region. Artists and scholars in Asia have learned much from Europe and America and continue to look to the West for educational opportunities, yet at the present time there is a growing desire to reach out to colleagues and neighbors in the region for creative stimulation, artistic partnership, and the pursuit of shared goals. In recent years, the ACC has gradually increased its support of regional



Ramli Ibrahim, a 1996 Asian Cultural Council grantee from Malaysia, performs Odissi dance of India at the ACC 35th Anniversary Conference in Manila in October 1998.





Asian Cultural Council grantee Yau-Horng Deng (right), a sculptor from Taiwan, works with artist Ming Fay in Mr. Fay's studio in New York.

#### **ASIAN CULTURAL COUNCIL** *(continued)*

exchange and collaboration in Asia through special projects such as the Triangle Arts Program involving Indonesia, Japan, and the United States, and through regional exchange fellowships. Clearly, multilateral and regional exchanges will form a larger part of the ACC's grant program in the future.

During 1998, the ACC allocated a total of \$2,697,921 for grants and grant-related expenses to support 129 fellowships and project awards. Individuals from China, Hong Kong, India, Indonesia, Japan, Korea, Laos, Malaysia, Mongolia, the Philippines, Singapore, Taiwan, Thailand, the United States and Vietnam received grants during the year. In 1999, while similar grantmaking activities are continuing, the ACC's trustees and staff will review the proceedings of the 35th Anniversary Conference and will further refine and focus the Council's grant program in a manner which can be most responsive to the changing global realities of the 21st century.

The Rockefeller Brothers Fund made a grant of \$250,000 to the Asian Cultural Council in 1998 for general operating expenses.

*Copies of the ACC annual report may be obtained from the Asian Cultural Council at 437 Madison Avenue, 37th Floor, New York, New York 10022.*





ONE WORLD: SUSTAINABLE RESOURCE USE





## PROGRAM GUIDELINES

### GOAL

To foster environmental stewardship which is ecologically based, economically sound, culturally appropriate, and sensitive to questions of intergenerational equity.

### STRATEGIES

**AT THE GLOBAL LEVEL**, by advancing international discussions on climate change and biodiversity preservation, and by supporting and publicizing practical, cost-effective models that can contribute to international agreements on these issues. In the area of climate change, by focusing on utility-based energy efficiency, renewable energy, transportation, and green taxes. In the area of biodiversity, by utilizing an ecosystem approach with special emphasis in the terrestrial context on temperate rainforests and in the marine context on fishery and coastal zone management. In the area of related economic concerns, by focusing on the impacts of economics, international trade and business, and the role of multilateral financial and grantmaking institutions, especially as they affect climate and biodiversity. The Fund's primary geographic areas of grant activity—United States, Central and Eastern Europe, and East Asia—inform the Fund's global strategy.

**WITHIN THE UNITED STATES**, by supporting model programs that further the Fund's global strategies, and by broadening and deepening the national environmental constituency and reinforcing its ability to act effectively.

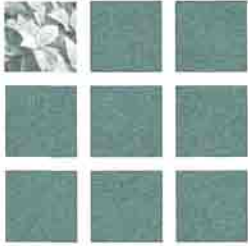
**IN CENTRAL AND EASTERN EUROPE**, by strengthening indigenous capacity for addressing environmental problems and managing natural resources on a sustainable basis, through education and training, institution building, policy formulation, and efforts linking government, nonprofit sector, and business concerns. Special attention is also given to cross-border and regional cooperation and to new funding mechanisms and approaches.

**IN EAST ASIA**, by assisting communities in their efforts to define and pursue locally appropriate development strategies, with particular attention to sustainable agriculture, coastal management, and integrated watershed planning, and to monitor the social and environmental effects of development programs and fiscal policies resulting from East Asia's integration into the global economy.

And, in all these areas, by integrating activities across geographic areas of the RBF's grantmaking in the United States, Central and Eastern Europe, and Asia to promote maximum synergy.



# One World: Sustainable Resource Use



The goal of promoting sustainable resource use and sound environmental stewardship requires the Fund to work at a complex intersection of ecological, economic, and cultural concerns, where the impact of human choices and behaviors on the health of ecosystems is evident and critical. With a special focus on mitigating climate change and safeguarding terrestrial and marine biodiversity, the RBF has been supporting efforts to curb emissions of greenhouse gases, build constituencies for protecting

temperate rainforests, encourage the practice of sustainable forest management, and help local communities and conservation groups play a role in the management of fishery and coastal resources. Also receiving support in 1998 were efforts to incorporate environmental considerations in global trade and multilateral development policies and to assist nongovernmental organizations working to make development projects and practices more environmentally sustainable. With varying degrees of emphasis and concentration, these themes were pursued in the United States and Canada, East Asia and the Russian Far East, and Central and Eastern Europe.

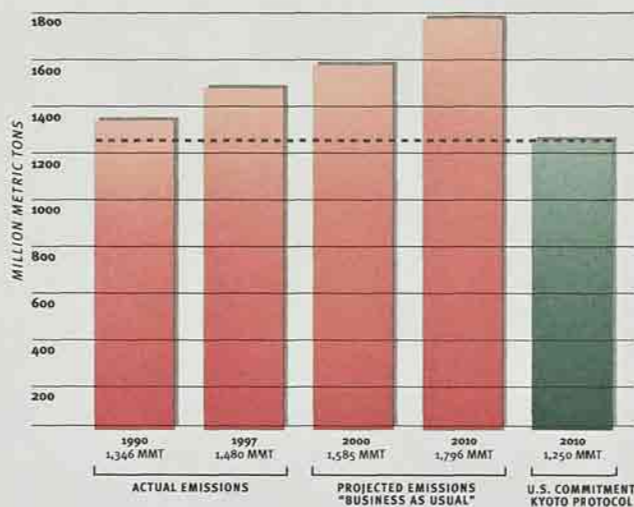
## CLIMATE CHANGE

The Third Conference of the Parties to the United Nations Framework Convention on Climate Change, held in December 1997 in Kyoto, Japan, established legally binding national targets for cuts in the levels of greenhouse gases such as carbon dioxide that are emitted by the combustion of fossil fuels. The resulting agreement requires 38 industrialized nations to reduce their greenhouse gas emissions to an average 5 percent below 1990 levels by the year 2010. The agreement, if ratified and implemented, would represent the first time nations have taken concrete, cooperative action to halt and reverse the rise of emissions that are exacerbating global climate change.

This achievement was in part the result of efforts by a cluster of RBF grantees—among them the National Environmental Trust, the Environmental Media Services Project of the Tides Center, Ozone Action, and the United States Public Interest Research Group Education Fund—to build constituencies for climate change mitigation. In 1998 these organizations continued to educate policymakers, the media, and the public about climate change issues. Working separately and together, these groups presented evidence that human-induced climate change is a real phenomenon; began to make the case that greenhouse gas emissions can be reduced while improving long-range economic competitiveness; and heightened visibility for the Kyoto meeting. Yet as the fossil fuel industry, and industries that rely on fossil fuels, work to prevent the implementation of binding emissions targets, the need for broader public awareness of climate change and of its connection to human behavior remains pressing. To reach a broader audience, RBF grantees in 1998 began to look beyond national-level constituencies, placing new emphasis on state-level public outreach and creating a multistate network of coordinators to educate business, conservation, scientific, health, and religious groups about the climate issue.

## U.S. GREENHOUSE GAS EMISSIONS: THE KYOTO COMMITMENT

Under the terms of the Kyoto Protocol, by 2010 the United States is expected to reduce its emissions of greenhouse gases to a level that is 7 percent below 1990 emissions. To reach this target the U.S. will need to eliminate approximately 500 million metric tons (MMT) of carbon emissions. One step toward achieving this goal would be to clean up the obsolete coal-fired power plants that are currently exempt from compliance with Clean Air Act requirements. Pace University's Clean Air Task Force, an RBF grantee, has estimated that if half of America's coal-fired power plants were retired or upgraded, 282 MMT of carbon emissions could be eliminated (more than half of the Kyoto target for the U.S.).



**CROSS-REFERENCE:** Global climate change is one of the emerging transnational threats to peace, justice, and sustainable development that have moved closer to the top of the

international security agenda since the end of the Cold War. Like other cross-border challenges—crime and terrorism, infectious disease and the strains of gross economic inequity—its management will require collaboration and social innovation at all levels of human activity. The Fund's new Global Security program will pursue several strategies and work with a wide range of public and private actors to foster more cooperative, effective approaches to transnational problem solving.



At the Kyoto summit, the United States committed to reducing its greenhouse gas emissions by 7 percent from 1990 levels by the year 2010. Several cost-effective strategies for cutting these emissions have already been proposed, including the upgrading (or shutdown) of polluting coal-fired power plants. Pace University's Clean Air Task Force is working with its national network of five regional coalitions to explain how power generation and climate change are connected and how to incorporate that connection into their messages and materials.

Another strategy for reducing greenhouse emissions is to replace fossil fuel-based power with renewable energy. Bringing more model renewable energy projects on line, however, requires overcoming economic, political, and regulatory obstacles. The Land and Water Fund of the Rockies has helped explain to consumers why a shift to renewable sources of power, such as solar and wind, makes economic sense. Largely because of the Fund's efforts, electric utilities in six Rocky Mountain and southwestern states are committing substantial amounts of money to solar and wind power. The Fund is continuing to promote the adoption of these and other clean energy options in the region.

Automobiles and trucks account for one-third of the United States' greenhouse gas emissions, a fact that underscores the need for alternatives that reduce dependence on these vehicles. The Surface Transportation Policy Project, a network of coalitions and organizations devoted to shifting the focus of national transportation policy from road construction to mass transit, is now addressing regional and local community planning issues. Also receiving 1998 grants for local-level public education efforts were the Conservation Law Foundation, which helps transportation reform groups in New England advance their individual agendas, and the Tri-State Transportation Campaign, which develops public outreach programs in the New York City metropolitan area.

## TERRESTRIAL BIODIVERSITY AND CONSERVATION

Rapid global deforestation—the result of clearcutting and other mass-volume logging techniques—poses a direct threat to numerous species and habitats. At the same time, since forests absorb significant amounts of carbon dioxide, deforestation exacerbates global warming. Yet as national economies and populations grow, demand for wood and wood products continues to rise. The Fund's Sustainable Resource Use grantmaking focuses on efforts to halt deforestation without causing shortages of timber supplies or crippling an industry that employs millions of people.

Balancing these concerns is the goal of a new approach to forestry, called sustainable forest management—an emerging array of practices, including environmentally sensitive logging, that protect wildlife habitat and community well being. Two market-related strategies have been identified that could advance the development of a sustainable forest products industry: expanding the *supply* of sustainably harvested wood, and informing consumers about the availability of such products in order to promote *demand* for them.

To increase the supply of sustainably harvested wood, regionally appropriate sustainable forestry standards must be set and a reliable process must be established for certifying that particular forests meet those standards. And if demand for such wood is to increase, consumers will need to know that companies' claims of adopting sustainable practices are legitimate. The Institute for Agriculture and Trade Policy is monitoring national standard-setting processes that are relevant to forestry (standards for sustainable building materials, for example) to ensure that they are rigorous enough to guarantee that certified products are ecologically superior to non-certified ones. The Forest Stewardship Council U.S., which among other activities evaluates and accredits certifiers, is now incorporated as the U.S. Working Group. Its current efforts are directed at making information about certification available to industry representatives, members of the conservation community, and policymakers.



Increasing the demand for sustainably harvested wood products is the mission of the Certified Forest Products Council, whose members—North American wood-consuming firms and institutions—have committed themselves to environmentally responsible buying practices. The council is launching a national public outreach effort to broaden awareness of and interest in corporate and civic commitment to certified forest products. The Natural Resources Defense Council (NRDC) is focusing on the general public, with the goal of encouraging consumers to demand wood products from sustainably managed sources. Toward this end, NRDC has adopted sustainable forestry as a priority program area and will be explaining the practice to its own members while working with other U.S. environmental groups to promote sustainable forestry management. Another strategy for increasing demand is to establish an independent labeling system that informs consumers about which products are derived from sustainably managed sources. The Consumer's Choice Council, an initiative of the Center for International Environmental Law, is building support for the domestic and international use of these "ecolabels." In addition to educating NGOs and the public, the council is responding to opponents of the labels, who argue that they impede free trade.

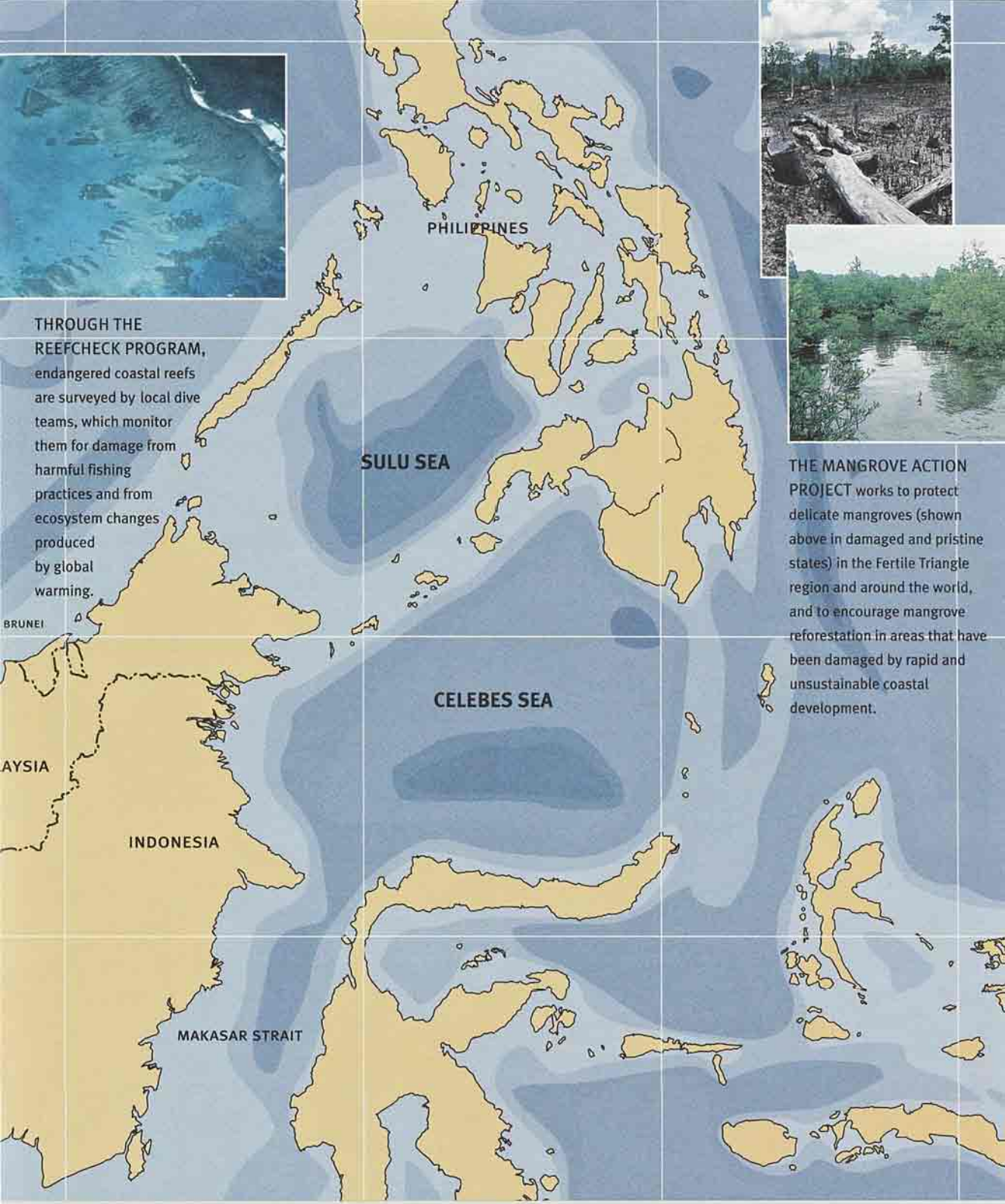
Conservation is of particular importance along North America's western coast, a region whose remaining stands of rare, old-growth forest and remarkable terrestrial biodiversity are threatened by the continued expansion of mass-volume logging. The American Lands Alliance (formerly the Western Ancient Forest Campaign), a national membership organization, is establishing an Internet-linked global network of advocates for coastal temperate rainforest conservation. In British Columbia's north coast region—site of the world's largest remaining tract of coastal temperate rainforest—the David Suzuki Foundation is creating a database on the status of wildlife and fish stocks, the scope of the wood products industry, and the positive economic impacts of more sustainable industry practices. The information will be disseminated broadly as an initial step in an effort to generate local, provincial, and national commitment to the protection and sustainable management of the area's resources.

## **MARINE BIODIVERSITY AND CONSERVATION**

The Fund supports efforts to halt the destruction of the world's oceans and build constituencies for marine biodiversity conservation. These efforts include bringing a conservationist voice to the U.S. fisheries management system, raising global public awareness about the true costs of shrimp aquaculture, and working with communities in the Russian Far East to understand the connection between productive salmon runs and overall environmental health.

Fishery resources in the United States are managed by a two-tier system: eight regional fishery management councils across the nation formulate plans for the responsible use of fisheries resources, while the National Marine Fisheries Service (NMFS) maintains oversight and responsibility for scientific research. The system has for the most part failed to manage marine resources sustainably, mainly because of the influence of special interests and the absence of strong public and political support for conservation. A network of ten collaborative regional projects has been addressing this challenge with RBF support. The groups, led by conservation-minded fishermen and environmental coalitions in all eight management council regions, are making the work of the NMFS and the councils more transparent to the public and are organizing and advocating for reduced fishing among depleted stocks and for the creation of marine reserves. This collaboration is facilitated by the Marine Fish Conservation Network, an Internet-based information clearinghouse established by the American Oceans Campaign.

In East Asia, the "Fertile Triangle"—embracing the Sulu and Celebes seas and bounded by eastern Malaysia, central and eastern Indonesia, and the southern Philippines—is a marine and coastal region of growing interest to the RBF. Current grants support efforts to encourage citizen-based ecosystem monitoring,



THROUGH THE REEFCHECK PROGRAM, endangered coastal reefs are surveyed by local dive teams, which monitor them for damage from harmful fishing practices and from ecosystem changes produced by global warming.

THE MANGROVE ACTION PROJECT works to protect delicate mangroves (shown above in damaged and pristine states) in the Fertile Triangle region and around the world, and to encourage mangrove reforestation in areas that have been damaged by rapid and unsustainable coastal development.

### THE FERTILE TRIANGLE

The shallow Sulu and Celebes seas are the world's most biodiverse marine systems. While three nations (Indonesia, the Philippines, and Malaysia) all have overlapping jurisdictions in these waters, they in fact constitute a single ecological unit. The Fund's work in this region focuses on coastal zone management, resource tenure concerns, and citizen-based ecosystem monitoring programs, including capacity building for NGOs working on fisheries and coastal management issues.



CROSS-REFERENCE: Building the capacity of community-based groups is a theme that

cuts across many RBF grantmaking programs, including Sustainable Resource Use, New York City, South Africa — and of course, the Nonprofit Sector program.



train local officials in coastal management, carry out paralegal training in communities adversely affected by illegal and destructive fishing, and strengthen communication networks among policymakers, academics, activists, and others interested in coastal management. Many of the projects focus on the region's mangroves—which, like those elsewhere in the world, are threatened by unregulated coastal shrimp farming, urbanization, resort development, and other forms of unsustainable development. The Earth Island Institute's Mangrove Action Project, a worldwide network of local NGOs and research institutes, provides a global early warning system of the threats to mangrove ecosystems. Renewed RBF support is enabling the project to launch programs on integrated shrimp-crab-mangrove aquaculture systems in Thailand and Indonesia and to assist mangrove reforestation efforts in the Philippines and Vietnam.

At the heart of this region's marine biodiversity are coral reefs, which are being threatened by unsustainable fishing methods and global warming. ReefCheck, based at the Hong Kong University of Science and Technology, is a partnership of scientists, commercial dive interests, and recreational divers dedicated to surveying coral reefs and building a stronger constituency for their preservation. It is now working with dive teams to increase monitoring in Indonesia, Malaysia, the Philippines, and Vietnam. The International Marinelife Alliance Philippines works to eliminate a particularly damaging practice: the use of cyanide to strip fish from the reefs. The alliance, which has trained cyanide fishers in the Philippines to employ less destructive fishing techniques, is now establishing training programs in Indonesia.

Another source of damage to the region's ecosystems is the rapid and unmonitored growth of shrimp aquaculture. The Industrial Shrimp Aquaculture Network, which operates under the auspices of the Earth Island Institute, is a global forum for scientists, academics, and northern and southern NGOs and a catalyst for reform of the industry. It is now setting up an affiliate office in Southeast Asia. Working to address shrimp industry abuses in Indonesia is the Telapak Foundation, which is using its pioneering environmental assessment and investigative journalism techniques to report on the extent to which shrimp aquaculture has penetrated the nation's coastal zones and to study land-right violations by the industry. The foundation is also the secretariat for the Indonesian Network of Coastal and Marine NGOs (*Jaringan Pela*), which helps government officials, academics, and activists focus on the management of coastal resources at local as well as national levels.

The RBF's initiation of grantmaking in the Russian Far East two years ago was an acknowledgment that the arc of the Northern Pacific Rim—though divided among the United States, Canada, and Russia—constitutes a single ecoregion. Although Russia is home to 50 percent of the world's wild salmon, local groups and individuals are just beginning to focus on the threats to wild salmon runs of unchecked mining, logging, illegal fishing, and oil and gas development. The Pacific Environment and Resources Center, a California-based NGO operating in the Northern Pacific, has begun addressing ecosystem conservation and rehabilitation in the Russian Far East and is working to help build a Russian constituency for salmon conservation.

## MULTILATERAL DEVELOPMENT PROGRAMS AND GLOBAL TRADE

Agreements promoting free trade often collide with and threaten to undermine rules, regulations, laws, and treaties designed to meet environmental needs—including important multilateral environmental agreements that the RBF and its grantees have worked to strengthen. However, no overarching mechanism exists for negotiating environmental and trade disputes that come before the World Trade Organization (WTO) for resolution. In an effort to encourage broad, constructive engagement between trade and conservation perspectives, the Foundation for International Environmental Law and Development (FIELD) is testing the proposition that reducing economic distortions such as industry subsidies will have positive—if unintended—environmental impacts. To take the case of two industries:



## TRANSPORTATION IN CENTRAL AND EASTERN EUROPE

Transportation, a cross-cutting issue in the sustainable development field worldwide, is of special importance in Central and Eastern Europe because of current trends in emissions, land-use planning, and the allocation of public funds. Motor vehicle ownership and use are both rising dramatically in the region, and the number of cars and trucks on the road in the year 2000 is expected to be 100 percent above 1990 levels. There has been a correspondingly substantial decline in the use of energy-efficient rail and mass transit.

In recent years, with RBF support, local NGOs have been promoting the notion of more balanced transportation planning which provides citizens with a realistic choice between public and private means of transport. For example, the Clean Air Action Group in Budapest, Hungary, which is devoted entirely to transportation and energy issues, received an RBF grant for a national initiative to promote energy-saving rail transport.



**CROSS-REFERENCE:**  
The prospect of integration into the European Union is accelerating the pace of economic development in

many Central and Eastern European countries, exacerbating trends of commercialization and consumerism which threaten environmental, social, and cultural values. Added to these sustainability issues are the tensions likely to be produced by economic and social inequities among countries on the fast track for accession to the EU and, especially, between these countries and countries to the east and south which are not on the fast track for integration. Such emerging concerns prompted the RBF to include in its new Global Security program a focus on the challenge of economic integration and the implications of increased integration for peace, justice, and sustainability.



fishery subsidies contribute to an overcapacity of fleets and hasten the decline of fishery stocks globally, while coal subsidies keep the price of coal artificially low, creating disincentives for the development of renewable energy systems that do not emit greenhouse gases. FIELD is studying the possibility of bringing a dispute to the WTO on the use of subsidies in one or both of these industries.

A growing number of East Asian NGOs are insisting that social and environmental safeguards be incorporated into multilateral development programs. The Bank Information Center, a Washington-based NGO, is working to ensure that a strong civil society voice is brought to bear on responses by the Asian Development Bank (ADB) to the region's financial crisis. The International Institute for Energy Conservation is encouraging the ADB to broaden its approach to energy sector development to include attention to renewable energy options. In Indonesia, the Hualopu Foundation, an NGO that is becoming a repository of information about coastal resource management, is organizing a community-level critique of World Bank projects in the marine sector.

In Central and Eastern Europe, too, many of the transportation, energy, forestry, industrial, and other development projects being funded or considered for funding by multilateral financial institutions pose threats to the environment and to the preservation of vital, sustainable communities, whether urban or rural. The CEE Bankwatch Network (now the CEE Bankwatch Network Foundation) works to strengthen local capacity to monitor transportation, energy, and other projects financed by the World Bank, the European Bank for Reconstruction and Development, and the European Investment Bank (EIB). Foundation representatives have initiated constructive conversations with senior staff at all three institutions, although particular efforts are being directed at encouraging greater EIB responsiveness to energy-saving rail and mass transit proposals. The foundation, which now has fifteen members in nine countries in Central and Eastern Europe and the Newly Independent States of the former Soviet Union, recently began to work with other NGOs in the region to build national campaigns aimed at promoting sustainable transportation.

## COLLECTIVE ACTION

In Asia, several grants are helping NGOs respond to environmental threats from unsustainable industrial development. The Environmental Legal Assistance Center, an NGO in the southern Philippines, provides institutional support for community-based coastal resource management activities and works on behalf of local communities by prosecuting cases of pollution or illegal resource appropriation. It is now working to build local capacity to handle environmental disputes before they reach the courts. In the Russian Far East, ISAR, a clearinghouse on grassroots cooperation in Eurasia, has launched citizen and NGO environmental monitoring programs in Magadan and Sakhalin provinces. Through a grants and training program, the new unit is working with selected NGOs to monitor and deal with the environmental effects of industrial projects in the region.

NGOs in Central and Eastern Europe have been addressing community revitalization, land stewardship, transportation reform, and other environmental challenges at the local and national levels by raising public awareness, promoting practical solutions, and urging policy changes. Civil society institutions have grown stronger through staff training, board development, improved financial accountability, and more effective fundraising. Public attitudes and government actions, however, have yet to shift substantially from short-term thinking to more sustainable approaches to development. Moreover, pressures toward increased consumerism, resource exploitation, and commercial development are being spurred by politically sophisticated foreign and indigenous business interests and by the push to join the European Union. To help concerned citizens counter these trends, the Fund is promoting new partnerships, networks, and opportunities for collective engagement that cut across sectoral, disciplinary, and national borders.



Among the NGOs working in this area is the Environmental Partnership for Central Europe, an initiative formed in 1990 to nurture community-based environmental activity in Poland, the Czech Republic, Slovakia, and Hungary. Independent Partnership offices have since been established in each of those countries. In addition to making grants, the partnership organizes and cosponsors workshops, land stewardship training events, fellowships, and exchanges. Together, a dozen U.S. and European funders have pledged more than \$9 million over nine years for this program of assistance to grassroots citizens groups and municipal government agencies for this work.

Emissions from private motor vehicles are the fastest-growing single source of greenhouse gases and air pollution in Central and Eastern Europe, a fact that makes transportation reform a particularly important element of environmental protection. Suburban sprawl, meanwhile, is on the rise. The Clean Air Action Group (CAAG) in Budapest has orchestrated several important achievements through its policy analysis, public education, grassroots organizing, and advocacy efforts, including the enactment of a new environmental tax on lubrication oil, which yields \$40 million a year to the Central Environmental Protection Fund of Hungary, primarily for investments in public transport and rail. The Society for Ecological Transport (TET), closely associated with the Foundation for the Support of Ecological Initiatives, has taken a leading role in developing an alternative transportation policy for Poland, which includes a moratorium on highway projects until more socially and environmentally oriented land-use policies and other balanced transportation strategies are formulated. The New York-based Institute for Transportation and Development Policy has worked behind the scenes to help CAAG and TET strengthen the economic and financial analyses in their public presentations and open dialogues.

These RBF-supported projects in Central and Eastern Europe are all operating in a larger context of European integration. In fact, the theme of integration, or crossing borders—whether economic, geographic, or thematic—is reflected in other 1998 Sustainable Resource Use grants as well. One example is the RBF's support of efforts to reconcile trade and environmental interests and to incorporate environmental safeguards into development. The Fund's grantmaking in East Asia, for which new guidelines were adopted in 1998, focuses in part on the social and environmental effects of fiscal policies that result from this region's integration into the global economy. And amid growing recognition that ecosystems and environmental threats transcend national borders (along the Northern Pacific Rim, for instance), several RBF grantees are creating regional and global networks to coordinate work on protecting marine ecosystems, conserving biodiversity, and mitigating climate change. In this as in other respects, the Fund's experiences in its Sustainable Resource Use program area have informed its new Global Security grantmaking guidelines (see the next section of this report), where the challenges of economic integration and the need to improve approaches to transnational problem-solving are central concerns.



## SUSTAINABLE RESOURCE USE • 1998 GRANTS

### GLOBAL

#### ALASKA CONSERVATION FOUNDATION

Anchorage, Alaska \$50,000  
For the continuation of its Alaska Rainforest Campaign, to expand protection of coastal temperate rainforest zones and to develop sustainable land management practices in the region.

#### ALASKA MARINE CONSERVATION COUNCIL

Anchorage, Alaska \$100,000 over 2 years  
Renewed support for this organization, comprising conservation-minded fishermen, and its efforts to promote an ecosystem approach to fishery management.

#### AMERICAN LANDS ALLIANCE

Washington, D.C. \$100,000  
To establish a transnational network of coastal temperate rainforest conservation advocates, and to support ongoing efforts to educate forest conservation advocates about sustainable forestry.

#### AMERICAN LITTORAL SOCIETY

Miami, Florida \$20,000  
For its project, Reefkeeper International, and its efforts to build a constituency for conservation at the Caribbean fishery management council.

#### AMERICAN OCEANS CAMPAIGN

Washington, D.C. \$120,000 over 2 years  
To strengthen the organization's Marine Fish Conservation Network, an Internet-based information clearinghouse on fishery management, used by regional and national groups interested in fishery conservation issues.

#### CENTER FOR INTERNATIONAL ENVIRONMENTAL LAW

Washington, D.C. total \$170,000  
\$150,000 over 2 years for a public and media education campaign of its Consumer's Choice Council, which seeks to build broad support for the use of ecolabels on globally traded products.

\$20,000 for the work of its Geneva office to develop new ideas for institutional development at the World Trade Organization.

#### CENTER FOR MARINE CONSERVATION

Washington, D.C. \$80,000  
To support two projects in the Gulf of Mexico and the Pacific to improve regional fishery management.

#### CERTIFIED FOREST PRODUCTS COUNCIL, INC.

Beaverton, Oregon \$450,000 over 2 years  
For efforts to support and promote sustainable forestry by boosting demand for independently certified forest products.

#### CONSENSUS BUILDING INSTITUTE

Cambridge, Massachusetts \$10,000  
To help defray costs of a special NGO strategy session in advance of the fourth Conference of Parties of the UN Framework Convention on Climate Change.

#### CONSERVATION LAW FOUNDATION

Boston, Massachusetts \$100,000  
To support the media and public education efforts of a consortium comprising several environmental organizations working for fishery management reform in New England.

#### DAVID SUZUKI FOUNDATION

Vancouver, Canada \$380,000 over 2 years  
For a public education and information-gathering initiative to protect the rainforest of British Columbia's north coast.

#### EARTH COUNCIL FOUNDATION

San Jose, Costa Rica \$129,500  
Toward international consultancies around formulation of the Earth Charter, a universal declaration on environmental protection and sustainable development.

#### ENVIRONMENTAL DEFENSE FUND

New York, New York \$5,000  
Toward production of a "Common Questions" informational booklet on climate change.

#### FOUNDATION FOR INTERNATIONAL ENVIRONMENTAL LAW AND DEVELOPMENT

London, England \$50,000  
Toward research on the possibility of using World Trade Organization rules to eliminate environmentally harmful subsidies for the fossil fuel and fishing industries.

#### HAWAII AUDUBON SOCIETY

Honolulu, Hawaii \$50,000  
In support of efforts to unite groups working on long-term conservation and fishery management reform within the Western Pacific fishery management council region.

#### INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOPMENT

Washington, D.C. \$10,000  
Toward an "International Workshop on Community-Based Natural Resource Management."

#### NATIONAL ENVIRONMENTAL TRUST

Washington, D.C. \$400,000 over 2 years  
For support of its efforts to build a U.S. constituency for mitigating climate change.

#### NATIONAL WILDLIFE FEDERATION

Washington, D.C. \$90,000 over 2 years  
Toward its project, the Global Forest Policy Project, which seeks to keep sustainable forestry standards rigorous and consistent.

#### NATURAL RESOURCES DEFENSE COUNCIL

New York, New York total \$180,000  
\$150,000 over 2 years to support its Forests for Tomorrow initiative, for its work promoting sustainable forestry.  
\$30,000 toward the development of the SeaWeb Salmon Aquaculture Clearinghouse project, a resource for fishing communities, the public, and the media on salmon aquaculture.

**PACE UNIVERSITY**

White Plains, New York \$100,000

Toward a public and media education program of its Clean Air Task Force, which seeks to publicize the impact of dirty power plants on human health, ecosystems, and climate.

**SIERRA LEGAL DEFENCE FUND SOCIETY**

Vancouver, Canada \$50,000 over 2 years

For work with First Nations to protect the temperate rainforests of British Columbia's north coast from unsustainable resource extraction.

**SILVA FOREST FOUNDATION**

Slocan Park, Canada \$75,000

To foster and expand forest certification practices in British Columbia, in an effort to encourage sustainable forestry in the region.

**SIMON FRASER UNIVERSITY**

Burnaby, Canada \$15,000

As a contribution toward the International Association for the Study of Common Property's seventh biannual conference on natural resource management, which was hosted by the university.

**SURFACE TRANSPORTATION POLICY PROJECT**

Washington, D.C. \$100,000

Renewed support to expand efforts to increase public and media awareness of and involvement in U.S. transportation policy issues.

**TIDES CENTER**

San Francisco, California \$150,000 over 2 years

For its project, *Environmental Media Services*, which educates the media about pressing environmental concerns, including climate change.

**WINROCK INTERNATIONAL INSTITUTE FOR AGRICULTURAL DEVELOPMENT**

Morrilton, Arkansas \$30,000

To facilitate the development and creation of a national renewable energy strategy in Nepal.

**EAST ASIA****BANK INFORMATION CENTER**

Washington, D.C. \$110,000 over 2 years

To support civil society engagement in the implementation of multilateral development bank policy reforms in Asia.

**COUNCIL ON RENEWABLE ENERGY IN THE MEKONG REGION**

Phitsanulok, Thailand \$40,000

Continued support for this organization's efforts to enlarge its membership and to strengthen its interaction with the Asian Development Bank.

**DUTA AWAN FOUNDATION**

Solo, Indonesia \$25,000

To facilitate the organization's work with community groups to monitor regions in Indonesia affected by the World Bank's Integrated Swamps Development Project.

**EARTH ISLAND INSTITUTE**

San Francisco, California total \$253,000

\$103,000 over 2 years for the Asia programs of its Mangrove Action Project, a worldwide network of local NGOs and research institutes interested in the health of mangrove ecosystems and the communities dependent on them.

\$150,000 over 2 years for the Asia activities of its Industrial Shrimp Aquaculture Network, a global coalition of scientists and nongovernmental organizations working for reform of the shrimp aquaculture industry.

**EARTH SUMMIT WATCH**

Washington, D.C. \$75,000

For the Shrimp Sentinel project, designed to improve dialogue on shrimp aquaculture among industry and civil society groups, and to increase information-sharing on the issue.

**ENERGY PROBE RESEARCH FOUNDATION**

Toronto, Canada \$40,000

For its project, *Probe International*, which examines energy-sector finance issues and opportunities for energy efficiency gains in the Mekong watershed.

**ENVIRONMENTAL LEGAL ASSISTANCE CENTER**

Puerto Princess City, Philippines \$150,000 over 2 years

To support its Paralegal Education and Training program, which will build communities' capacities to enforce and respond to violations of laws on natural resource use.

**FOUNDATION FOR THE STUDY OF LAW AND SOCIETY**

Ambon, Indonesia \$20,000

For paralegal training and casework services in coastal communities affected by land tenure disputes.

**FRIENDS OF THE EARTH — JAPAN**

Tokyo, Japan \$120,000 over 2 years

For general support, and for the organization's research and advocacy efforts on public investment and overseas development assistance programs in Japan.

**HONG KONG BAPTIST UNIVERSITY**

Hong Kong, China \$80,000 over 2 years

For a project to improve waste management methods in China and to develop a system of large-scale composting for the production of organic fertilizers.

**HONG KONG UNIVERSITY OF SCIENCE AND TECHNOLOGY**

Hong Kong, China \$50,000

In support of ReefCheck, a citizen-based, information-gathering project to monitor the health of marine ecosystems in the Asia Pacific.

**HUALOJU FOUNDATION**

Ambon, Indonesia \$70,000 over 2 years

To strengthen efforts on behalf of community-based coastal zone management and to support monitoring of World Bank investment in eastern Indonesia's marine sector.

**INTERNATIONAL INSTITUTE FOR ENERGY CONSERVATION**

Washington, D.C. \$50,000

For continued efforts to broaden the Asian Development Bank's approach to energy sector development in the Mekong Delta region.



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**EAST ASIA (continued)****INTERNATIONAL INSTITUTE OF RURAL RECONSTRUCTION**

New York, New York \$80,000 over 2 years

For a project with local governments, nongovernmental organizations, and coastal communities to improve freshwater access and equity in the Philippines and Vietnam.

**INTERNATIONAL MARINELIFE ALLIANCE PHILIPPINES**

Manila, Philippines \$123,000 over 2 years

In support of its efforts in Indonesia to eliminate cyanide fishing, which has a destructive effect on marine ecosystems.

**INTERNATIONAL RIVERS NETWORK**

Berkeley, California \$13,000

For the production and dissemination of a report assessing the cumulative impacts of hydropower projects on local communities in Laos.

**JALA FOUNDATION**

Medan, Indonesia \$20,000

To support community organizing efforts in coastal fishing villages on behalf of better enforcement of laws against destructive inshore trawler use.

**JAPAN CENTER FOR A SUSTAINABLE ENVIRONMENT AND SOCIETY**

Tokyo, Japan \$110,000 over 2 years

For the center's Sustainable Development and Aid Program, which monitors and encourages greater transparency in overseas development assistance programs in Japan.

**PACIFIC ENVIRONMENT AND RESOURCES CENTER**

Sausalito, California \$300,000 over 2 years

For the capacity-building and organizing efforts of an initiative to preserve and restore salmon runs in the Russian Far East.

**PHILIPPINE COUNCIL FOR AQUATIC AND MARINE RESEARCH AND DEVELOPMENT**

Los Banos, Philippines \$50,000

In support of a convention of academics, local officials, community organizers, and policymakers to examine the past, present, and future of coastal management in the Philippines.

**SOUTH CHINA AGRICULTURAL UNIVERSITY**

Guangzhou, China \$156,000 over 3 years

Toward the development of a sustainable agriculture extension network—comprising farmers, university researchers, and local governments—to build a market infrastructure for organic produce.

**TELEPAK FOUNDATION**

Bogor, Indonesia \$50,000

For its role as secretariat for the Indonesia Network of Marine and Coastal NGOs and for a project to document the extent and practices of the shrimp aquaculture industry in Indonesia.

**VIETNAM WOMEN'S UNION**

Hanoi, Vietnam \$20,000

For the information dissemination and staff training components of its work to promote rural solar electrification in Vietnam.

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**CENTRAL AND EASTERN EUROPE****AMERICAN TRUST FOR AGRICULTURE IN POLAND**

McLean, Virginia \$100,000 over 2 years

For the Foundation for the Development of Polish Agriculture to help prepare rural farmers in Poland for European integration, in part through bringing local leaders into policy processes affecting agriculture and rural life.

**CEE BANKWATCH NETWORK FOUNDATION**

Kracow, Poland \$180,000 over 3 years

For general operating expenses of this organization, designed to increase the capacity of local groups in the region to monitor international financial institutions.

**CLEAN AIR ACTION GROUP**

Budapest, Hungary \$50,000 over 2 years

For two sustainable transportation projects in Hungary to promote energy-saving rail transport, and to evaluate the costs of different transportation modes in Budapest.

**CZECH ECO-COUNSELING NETWORK**

Brno, Czech Republic \$75,000 over 3 years

General support for this coalition of community-based nongovernmental organizations concerned with promoting alternative economic development.

**EASTWEST INSTITUTE**

New York, New York \$100,000 over 2 years

For the Learning Network, which provides an ongoing forum for East–East discussion in sustainable regional and community development.

**ECOLOGISTS LINKED FOR ORGANIZING GRASSROOTS INITIATIVES AND ACTION**

Harford, Pennsylvania \$116,000 over 2 years

Toward its Virtual Foundation, a Web site providing potential donors with globally accessible information on a variety of funding opportunities in Eastern Europe, the former Soviet Union, and East Asia.

**ENVIRONMENTAL MANAGEMENT AND LAW ASSOCIATION**

Budapest, Hungary \$150,000 over 3 years

General support for this organization, which provides pro bono legal services and advice on environmental and economic concerns for community and government groups in the region.

**ENVIRONMENTAL PARTNERSHIP FOR CENTRAL EUROPE — CZECH OFFICE**

Brno, Czech Republic \$90,000 over 2 years

To improve the management, coordination, and organizational capacity of complementary programs in community revitalization in the Czech Republic.

**EUROPEAN NATURAL HERITAGE FUND**

Rheinbach/Bonn, Germany \$80,000 over 2 years

Toward two sustainable development projects in Poland, one on public transportation in Wroclaw, and the other on rural development in the Narew region.

**FOUNDATION FOR THE SUPPORT OF ECOLOGICAL INITIATIVES**

Cracow, Poland \$25,000 over 2 years

Renewed support for the public education, community organizing, and media awareness components of a Polish national campaign on transportation reform.

**FRIENDS OF THE EARTH, INTERNATIONAL**

Amsterdam, The Netherlands \$105,000 over 2 years

For efforts to improve the accountability of international financial institutions, particularly those that have an impact on energy and transportation planning in Central and Eastern Europe, and on climate change.

**INSTITUTE FOR SUSTAINABLE COMMUNITIES**

Montpelier, Vermont \$100,000 over 2 years

Toward the Madeleine M. Kunin Special Opportunities Fund, which gives the institute flexibility to support projects promoting community-based sustainable development in Central and Eastern Europe.

**INSTITUTE FOR SUSTAINABLE DEVELOPMENT**

Warsaw, Poland \$225,000 over 3 years

General support for this independent policy center, which focuses on the relationship between environmental protection and economic development.

**INSTITUTE FOR TRANSPORTATION AND DEVELOPMENT POLICY**

New York, New York \$70,000 over 2 years

For its sustainable transportation initiative, which helps private and public sector agencies in the region promote balanced transportation strategies.

**ISAR**

Washington, D.C. \$50,000

For a small grants and training program in citizen monitoring for NGOs in the Russian Far East, designed to improve monitoring of local industrial projects.

**POLISH ECOLOGICAL CLUB**

Kracow, Poland \$25,000 over 2 years

To establish an office in Warsaw to initiate a public discourse on effective ways to change attitudes and policies on transportation.

**VIA FOUNDATION**

Prague, Czech Republic \$100,000 over 2 years

For a community revitalization program that will advance local citizen-inspired economic development, including transportation reform and creative use of public space.

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**UNITED STATES****CENTER FOR MARINE CONSERVATION**

Washington, D.C. \$110,000

In support of two fishery management projects in the South Atlantic and Mid-Atlantic regions, designed to monitor and increase public understanding of fishery conservation measures.

**COLUMBIA UNIVERSITY**

New York, New York \$25,000

Toward a conference on "Corporate Strategy and Sustainable Development: Using Markets, Norms and Law to Enhance Environmental Performance."

**CONSERVATION LAW FOUNDATION**

Boston, Massachusetts \$75,000

Renewed support to continue outreach and assistance to citizens' groups that are working for transportation reform in New England.

**THE FOREST TRUST**

Santa Fe, New Mexico \$50,000 over 2 years

To support the creation of Forest Stewards' Guild, an association for foresters interested in encouraging the practice of sustainable forestry.

**INSTITUTE FOR AGRICULTURE AND TRADE POLICY**

Minneapolis, Minnesota total \$200,000

\$150,000 over 2 years toward its efforts to educate private landowners in the Great Lakes region about sustainable forestry certification.

\$50,000 to monitor national standard-setting efforts (for sustainable building materials, for example) that have a relevance to forestry.

**INTERSTATE RENEWABLE ENERGY COUNCIL**

Boston, Massachusetts \$15,000

To develop a national system of state-based standards for solar power in the United States, and to increase the acceptability and use of solar power among consumers.

**IZAAK WALTON LEAGUE OF AMERICA, INC.**

Gaithersburg, Maryland \$30,000

To evaluate sustainable forest management practices on industrial forest lands in the U.S.

**LAND AND WATER FUND OF THE ROCKIES**

Boulder, Colorado \$75,000 over 2 years

For its work to develop alternative, renewable energy sources in the southwestern United States.

**NEW YORK COMMUNITY TRUST**

New York, New York \$200,000

To support its waterfront project, an effort to encourage restoration, redevelopment, and public access along the region's waterfront.

**NEW YORK COMMUNITY TRUST**

New York, New York \$75,000 over 2 years

For an exploratory project to assess the viability of a long-term effort to redevelop New York City's waterfront.

**OZONE ACTION**

Washington, D.C. \$100,000 over 2 years

For support of its efforts to build a U.S. constituency for mitigating climate change.

**PACIFIC MARINE CONSERVATION COUNCIL**

Astoria, Oregon \$100,000

For expansion of its fishery efforts, and to improve the data gathering and public information components of its work on behalf of fishery management reform in the Pacific region.

**PENNSYLVANIA STATE UNIVERSITY**

University Park, Pennsylvania \$50,000 over 2 years

For its efforts to educate private landowners in Pennsylvania about sustainable forestry certification.

**TRI-STATE TRANSPORTATION CAMPAIGN, INC.**

New York, New York \$100,000 over 2 years

Renewed support for public education of outreach work on transportation policy reform in New York, New Jersey, and Connecticut.



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**UNITED STATES** (continued)

**U.S. PUBLIC INTEREST RESEARCH GROUP**

Washington, D.C. \$100,000 over 2 years

For support of its efforts to build a U.S. constituency for mitigating climate change.

**U.S. WORKING GROUP, INC.**

Burlington, Vermont \$200,000 over 2 years

For general support of the Forest Stewardship Council, which supports and promotes sustainable forest management.



ONE WORLD: GLOBAL SECURITY







## PROGRAM GUIDELINES

### GOAL

To contribute to the emergence of a more just, sustainable, and peaceful world by improving the cooperative management of transnational threats and challenges.

Working with a wide range of public and private actors in regions of the world where the RBF is already engaged (North America, East Asia, Central and Eastern Europe, and southern Africa), the Fund will pursue four mutually reinforcing strategies.

### STRATEGIES

**CONSTITUENCY BUILDING:** Strong domestic constituencies for cooperative international engagement enable national governments, civil society organizations, and corporate actors to make more effective contributions to transnational problem solving. With an initial emphasis on the United States, *the RBF will support projects designed to build such constituencies and to increase general understanding of the ethical and practical implications of living in an increasingly interdependent world.*

**IMPLEMENTATION:** Grantmaking will focus on public education efforts that link transnational issues to personal values and local concerns and on other activities that seek to frame a relevant transnational agenda for public advocacy and political leadership. The centerpiece of this strategy is the Fund's commitment to the "Global Interdependence Initiative," a long-range constituency building endeavor in the U.S. that involves foundations, NGOs, multilateral agencies, and business.

**TRANSPARENCY AND INCLUSIVE PARTICIPATION:** Transparency and inclusive participation legitimate transnational policymaking processes that have widespread impact on the quality of people's lives and the integrity of the natural environment. *The RBF will support efforts to achieve an open, candid exchange of information and perspectives among the growing number of actors who participate in the development and implementation of transnational policy.*

**IMPLEMENTATION:** Grantmaking will focus initially on advancing transparency and inclusive participation in global economic development and policymaking. In addition, where a lack of transparency or inclusiveness in national policy processes impairs transnational problem solving or contributes to regional instability, the Fund will assist efforts to improve the policy environment—for example, by expanding citizen access to government and corporate information or by ensuring equal participation in multi-ethnic societies.

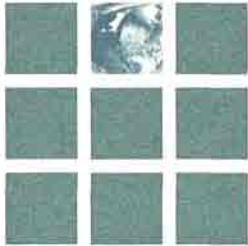
**THE CHALLENGE OF ECONOMIC INTEGRATION:** In each of the geographic areas where the Fund is active, accelerating regional and global economic integration poses new social, political, and environmental challenges. *The RBF will support efforts to understand, adjust to, and steer the process of increased economic integration, with an emphasis on approaches that serve the goals of justice, sustainable development, and peace.*

**IMPLEMENTATION:** Grantmaking will focus primarily on the dynamics of individual regions where the Fund is active. Emphasis will be placed on advancing culturally appropriate models of economic development, articulating regional strategies for the resolution of transnational economic problems, and assisting the appropriate incorporation of national economies into regional economic frameworks.

**EMERGING TRANSNATIONAL CONCERNS:** In an era of rapid change and increasingly complex interactions, the Fund wishes to retain flexibility to explore and respond to emerging concerns. *The RBF will therefore address other transnational challenges that require new forms of cooperative management.*

**IMPLEMENTATION:** Grantmaking is expected to focus initially on two such challenges. The first is the global trade in small arms; strategies for managing this threat will necessarily differ from those employed in traditional arms control regimes. The second is the penetration of criminal networks into state structures and transnational business activity, a threat whose extent and consequences are not yet fully understood and whose curtailment exceeds the capacity and mandate of existing institutional arrangements.

# One World: Global Security



As many foundations have acknowledged, the context for international grantmaking has changed dramatically over the past decade. The world today is characterized by unprecedentedly rapid and large-scale transnational interactions; the globalization of previously local activities and concerns; and complex new relationships among regions, nations, societies, and sectors. Powerful and interacting trends — including technological innovation, the restructuring of the global economy, and irreversible

demographic shifts — now present significant challenges to, and opportunities for achieving, international stability, sustainable economic growth, and equitable human development. New transnational dangers have emerged, from environmental degradation to crime and terrorism, while traditional threats, such as the proliferation of weapons of mass destruction, remain pressing. Certain long-simmering concerns that were obscured by the Cold War, including ethnic tensions and destabilizing disparities of wealth, have moved closer to the top of the international agenda. Although nation-states and the international state system remain key players in the global arena, other actors — civil society organizations, private sector corporations, even individuals — are newly able to advance or undermine the goals of justice, sustainable development, and peace.

## NEW GRANTMAKING GUIDELINES

In 1996, mindful of these enormous social, economic, and geopolitical changes, the RBF suspended its security grantmaking, which since 1984 had focused on arms control and nuclear nonproliferation, as well as a broader agenda of international relations, development, trade and finance — and undertook a two-year review designed to culminate in the articulation of new program guidelines.

The centerpiece of this effort was the RBF Project on World Security (for more information, see the project's Web site at [www.rbf.org/pws](http://www.rbf.org/pws)). Through meetings, discussions, expert consultations, and publication of commissioned papers, the project encouraged interdisciplinary and cross-sectoral dialogue; provided a comprehensive picture of the new context for security-related grantmaking; and developed a set of recommended agendas for grantmaking in the security field. In addition to the Project on World Security, the Fund also supported a program of research on transnational governance at the Carnegie Endowment for International Peace. Defining governance as the means by which people organize themselves to respond to challenges that require collective action, the program explored new governance arrangements — in which transnational civil society plays a growing role — for responding to the increasing array of global problems that respect no borders.

Building on analyses and conclusions generated by this review process, and drawing from the Fund's experience in its other major international programs, Sustainable Resource Use and Nonprofit Sector, the RBF developed the new grantmaking guidelines presented at the start of this section. The concept of security that underlies these new guidelines incorporates military and non-military threats to peace, and





Globalization, Information  
Technology, and Conflict in  
the Second and Third Worlds  
*A Critical Review of the Literature*

PROJECT ON WORLD SECURITY  
ROCKEFELLER BROTHERS FUND

Light Weapons  
and Civil Violence

*Policy Options for the  
International Community*

PROJECT ON WORLD SECURITY  
ROCKEFELLER BROTHERS FUND

Culture, Identity, and  
Security: An Overview

PROJECT ON WORLD SECURITY  
ROCKEFELLER BROTHERS FUND

## RBF PROJECT ON WORLD SECURITY

During its two-year span, the Rockefeller Brothers Fund Project on World Security commissioned a total of twelve papers to explore aspects of the changing nature and requirements of security in the post-Cold War world. All are now available from the RBF online ([www.rbf.org/pws](http://www.rbf.org/pws)) or by calling the Fund's New York office.

### OVERVIEWS

- *Inventory of Security Projects*
- *Foundations in Security: An Overview of Foundation Visions, Programs, and Grantees*  
Amir Pasic (Web site publication only)

### LITERATURE REVIEWS

- *The New Security Thinking:  
A Review of the North American Literature*  
Ann M. Florini and P.J. Simmons
- *Poverty, Inequality, and Conflict in  
Developing Countries*  
Joan M. Nelson
- *Economic Globalization and  
Political Stability in Developing Countries*  
Nicolas van de Walle
- *Globalization, Information Technology, and  
Conflict in the Second and Third Worlds:  
A Critical Review of the Literature*  
Ernest J. Wilson, III
- *International Actors and Internal Conflicts*  
Stephen John Stedman
- *Culture, Identity, and Security: An Overview*  
Amir Pasic

### COUNTRY CASE STUDY

- *China Confronts the Challenge of Globalization:  
Implications for Domestic Cohesion and  
International Cooperation*  
Elizabeth Economy

### REGIME CASE STUDIES

- *Biological Terrorism, Emerging Diseases,  
and National Security*  
Christopher F. Chyba
- *Light Weapons and Civil Violence:  
Policy Options for the International Community*  
Jeffrey Boutwell and Michael Klare
- *Regimes as Mechanisms for Global Governance*  
Renée de Nevers



**CROSS-REFERENCE:** In his President's Report, Colin G. Campbell reflects on how the Project on World Security and other aspects of the Fund's security program review have confirmed and extended the RBF's commitment to the notion of global interdependence — a notion that has been central to the Fund's understanding of international affairs and its approach to international grantmaking since 1983.

the needs of individuals and groups as well as nation-states. Although the guidelines map out significant new territory for the Fund, they also reflect the Fund's traditional preference for addressing broadly conceived issues of enduring concern; its longstanding interest in the theme of global interdependence; its emphasis on the linkages among local, national, and transnational problems and solutions; and its commitment to integrating activities across geographic and programmatic areas.

### GRANTS MADE IN 1998

Although the new Global Security guidelines were not yet in effect, RBF grantmaking during 1998 anticipated the general goal and in some respects even the specific strategies included in the new guidelines. The Fund's interest in "the cooperative management of transnational threats and challenges" was reflected in two grants to the Carnegie Endowment for International Peace. One grant supports the Managing Global Issues project, which is analyzing and comparing transnational mechanisms and policies that have been used in the past for managing global problems. It will then seek to determine whether these earlier models of problem management can be applied to current and emerging challenges. The aim is to discern new ways for nation-states and other actors to find common ground for collective action—and to help establish the management of global issues as a legitimate and important field of study.

The second grant supports a project on Transparency and Transnational Governance, which focuses on a spreading norm that calls for the open exchange of information and perspectives by governmental and nongovernmental participants in transnational policymaking. This project will evaluate the pros and cons of transparency's potential role as a tool in transnational governance; where transparency looks most promising, the project will develop strategies for encouraging it. In addition to anticipating the RBF's stated interest in improving cooperative transnational problem-solving, this project also anticipates the Fund's commitment to advancing transparency as a strategy for achieving that goal.

Constituency building, the first strategy in the new Global Security program, is at the heart of the Global Interdependence Initiative, a major project that was planned with extensive RBF involvement during 1997–1998 and formally launched at the end of 1998, with the help of a grant from the Fund. This initiative, housed at the Aspen Institute, is a ten-year, collaborative effort involving foundations, environmental and humanitarian NGOs, business and labor groups, and other organizations. It seeks to strengthen public and political constituencies in the United States for an approach to international engagement that is more cooperative, more inclusive and transparent, and more committed to balancing military security concerns with economic, humanitarian, and environmental goals. Such an approach would serve long-range national interests and build on values—such as compassion, fairness, and teamwork—that are broadly shared but rarely drawn upon to frame discussions about the U.S. role in the world.



## GLOBAL SECURITY • 1998 GRANTS

### ASPEN INSTITUTE, INC

Washington, D.C. total \$525,000

\$500,000 over 2 years toward the Global Interdependence Initiative, which is a long-term collaborative effort to build stronger public constituencies for cooperative international engagement.

\$25,000 for a U.S.-China symposium on "The Legal Protection of Human Rights."

### CARNEGIE ENDOWMENT FOR INTERNATIONAL PEACE

Washington, D.C. total \$498,000

\$300,000 over 2 years for its *Managing Global Issues* project, which aims to find new ways for diverse sectors, disciplines, and nations to identify common ground for collective action to address global issues.

\$178,000 for its *Regulation by Revelation* project, which examines transparency as a new norm for transnational governance.

\$20,000 as a contribution toward the launch of its project on "Managing Global Issues."

### FREEDOM HOUSE

New York, New York \$25,000

Toward establishing an international "Community of Democracies," an international initiative to encourage international engagement and promote the development of democracy.

### INSTITUTE FOR HUMAN SCIENCES

Vienna, Austria \$12,500

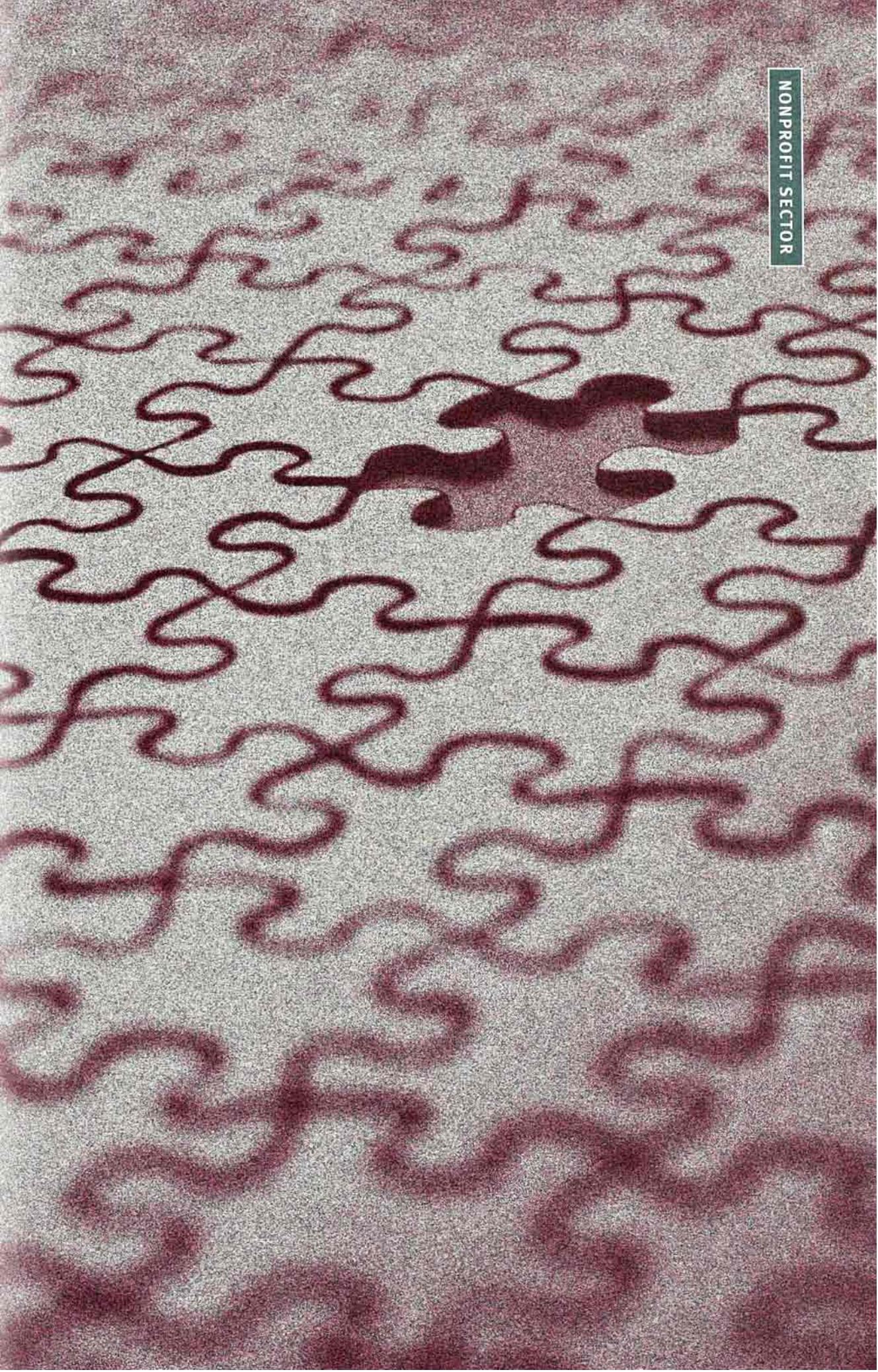
For a strategic planning meeting of the Program Development Committee for the proposed European Academy in Warsaw, Poland, which is envisioned as an institute for students, scientists, and researchers who wish to undertake intensive research projects lasting three to five years.

### UNITED STATES INSTITUTE OF PEACE

Washington, D.C. \$25,000

For planning of new permanent headquarters on the Capital Mall in Washington, D.C., which will enhance opportunities for public education about the importance of America's involvement in world affairs.









## PROGRAM GUIDELINES

### GOAL

To promote the health and vitality of the nonprofit sector, both nationally and internationally, particularly in those regions of the world where the Fund is engaged in other aspects of its program.

### STRATEGIES

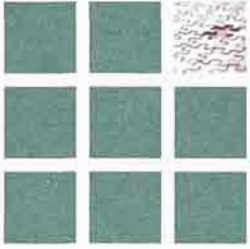
**DEVELOPMENT OF RESOURCES:** Assisting in the development of the financial, human, and structural resources necessary to the nonprofit sector, with special attention to promoting the growth of philanthropy.

**ACCOUNTABILITY:** Encouraging greater accountability within the nonprofit sector, with special attention to the role of trustees or directors of nonprofit organizations in ensuring ethical practices.

**INCREASED UNDERSTANDING:** Promoting increased understanding of the nonprofit sector and of nonprofit organizations and the diverse roles they play in society, with special attention to reaching both the general public and individuals actually engaged in nonprofit endeavors, and to fostering communication and networking among nonprofit organizations, internationally as well as domestically.



# Nonprofit Sector



In a time of change and dramatic expansion for the nonprofit sector, nonprofit organizations in developed and developing nations alike face important challenges.

In the United States, traditional distinctions between public and private, nonprofit and for-profit institutions are being eroded, as governmental functions devolve to the private sector and nonprofits are pressed to become more “business-like” in their operation. Uncertainty about the role and function of the nonprofit sector has combined

with the sector's rapid expansion to prompt increased scrutiny of nonprofit and philanthropic enterprises. To help the sector respond effectively to these changes, RBF grantmaking in the United States has focused on promoting accountability and strong leadership (especially at the trustee level), and on improving understanding of the sector's role and its relationship to other sectors. Such themes are relevant in Central and Eastern Europe and in Asia, too, where changing political and economic dynamics are clearly factors to be reckoned with. In addition, the relatively new and rapidly growing nonprofit sectors in these regions are being called upon to deliver critical social services on an unprecedentedly large scale. The RBF's commitment to enhancing the resources of the sector—human as well as financial—has been particularly relevant in this context.

## LEADERSHIP AND VISION

Rapid growth is a feature of the nonprofit sector in almost all corners of the world, as nonprofit groups, nongovernmental organizations (NGOs), and foundations have been established in response to several developments, notably the new political, social, and cultural norms of self-determination, and the void left by governments' inability or unwillingness to invest in meeting widespread social needs. This rapid expansion has given rise to an urgent demand worldwide for more NGO leaders and managers with skill and vision. The International Philanthropy Fellows program of the Institute for Policy Studies at the Johns Hopkins University provides scholars and practitioners with intensive, individualized study of the institutions and literature of the nonprofit sector. To date eighty-nine fellows representing thirty-eight developing and developed countries have participated in the program. Many of them have assumed leadership roles at home and are now recognized as authorities on the nonprofit sector.

The U.S. nonprofit sector has been the subject of substantial academic research over the past two decades. Yet this growing body of work is not always accessible to more general audiences; even people who work in and manage nonprofit organizations tend to be unfamiliar with research on the sector. The Applied Research and Development Institute International explores ways to make research a more useful tool for improving the management and effectiveness of nonprofit organizations. An RBF grant supported a spring 1999 meeting at the Pocantico Conference Center for scholars, program specialists, and nonprofit leaders. The institute will draw on this meeting to formulate a plan for making research findings on nonprofit management and leadership accessible to nonprofits and other groups that could benefit from them. The Association for Research on Nonprofit Organizations and Voluntary Action (ARNOVA), an interdisciplinary membership organization, is also seeking to bridge the barriers between research and



practice. With the help of a 1998 grant from the Fund, ARNOVA will reach out beyond its core constituency of academics to disseminate information about the nonprofit sector to a broader audience: leaders of community-based and advocacy organizations, providers of nonprofit management support, and foundation officers and trustees.

Private foundations in the United States, while confronting many of the leadership and management challenges facing other types of nonprofit organizations, have their own distinctive concerns. As they witness dramatic increases in their number and in the size of their assets, foundations remain poorly understood by the public and face a certain amount of skepticism about the value—and even the legitimacy—of their work. Some foundation leaders believe the sector must articulate (or reassert) a coherent, compelling role and purpose for philanthropy, a vision for the sector's continuing development. The Hauser Center for Nonprofit Organizations, at Harvard University's John F. Kennedy School of Government, is bringing academics and members of the foundation community together over a three-year period to consider ways of ensuring that philanthropy continues to make a significant contribution to American life. Topics scheduled for discussion include the relationship between funders and nonprofits, and the financial management strategies of private foundations. The discussions will culminate in, and inform the agenda for, a Hauser Center research conference on philanthropy.

### OPPORTUNITIES FOR CIVIC ENGAGEMENT

Many observers feel that U.S. citizens' lasting connections to each other, to community institutions, and to government—connections that are preconditions for a healthy democracy and civil society—seem to be weakening. What role do nonprofit organizations play in reinforcing these connections, and how might they play their role more effectively? Since 1997 a group of leading academics and practitioners who are committed to understanding and strengthening civic engagement, including experts on the nonprofit sector, have been attending the Saguaro Seminar, a multiyear dialogue based at Harvard University's Kennedy School. Their goal is to identify strategies that can help Americans more fully participate in civic life. The seminar's sixth meeting, held at the Pocantico Conference Center in 1998, focused on policies that could strengthen bonds of trust and reciprocity in workplaces and encourage employees to become more involved with their communities. Also addressing the question of civic engagement is the Changing Charity Project of the Center for Public Policy, a division of the Union Institute. Among the project's several activities is an effort to devise a research tool that would determine the effect improvements in nonprofit organizations can have on enhancing civic participation.

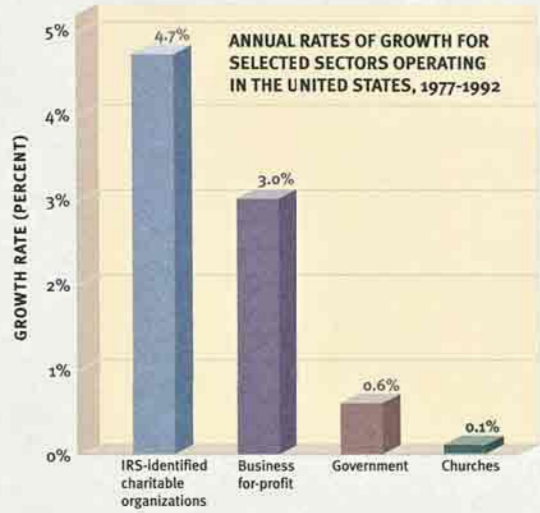
One important form of civic engagement is service on the board of a nonprofit organization. But this is often easier said than done: many small nonprofits have trouble finding potential board members with relevant skills and backgrounds, while interested individuals have no way of identifying the organizations that need them. The Volunteer Consulting Group's pilot Board Marketplace Program helps community and civic groups recruit board members, develops a pool of potential recruits, and seeks appropriate board placements. In addition to establishing six marketplace programs across the country and synthesizing their experiences into a manual, the group has provided technical assistance to community foundations, volunteer centers, and management support organizations in starting their own marketplace programs. Under an RBF grant, the group is creating National Board NET, an online network that will enable board marketplace programs around the country to exchange strategies for helping boards and potential board members identify each other. Through National Board NET, these programs will be hyperlinked to regional groups of nonprofit organizations and to corporations, alumni and membership groups, national service clubs, and other sources of board leadership.

In Central and Eastern Europe, the sector is in urgent need of volunteers—a result of recent increases in the number of NGOs as well as in the pressure on them to deliver social services that are no longer being

## GROWTH OF THE NONPROFIT SECTOR IN THE UNITED STATES

The number of charitable organizations registered with the Internal Revenue Service (organizations founded to serve public purposes, including private and corporate foundations) nearly doubled from 1977 to 1992. The annual rate of growth in numbers of charitable organizations was 4.7 percent — greater than any other major sector operating in the U.S. Almost three quarters of the 689,000 organizations identified as charitable by the IRS in 1992, excluding religious organizations and private foundations, had been founded since 1970.

As for grantmaking foundations, their number has doubled since 1980, from roughly 22,000 to 44,000. According to the Foundation Center, among the approximately 14,400 largest foundations (with assets of at least \$1 million or making grants of \$100,000 or more in 1996-97), more than half (52 percent) were formed in the 1980s and 1990s.



**CROSS-REFERENCE:** The growth of the nonprofit sector worldwide and the sector's growing voice in national and international policymaking are considerations in several RBF program areas. The Sustainable Resource Use program, for example, seeks to strengthen the capacity of local citizens' groups in Central and Eastern Europe and in East Asia to advance environmentally sound and culturally appropriate development strategies. The Fund's new Global Security program focuses, in part, on encouraging inclusive participation by a wide range of non-state as well as state actors in global and regional policymaking. In South Africa, a revised set of guidelines now emphasizes fostering NGO/government/university collaboration in the area of basic education.

provided or funded by governments. However, potential volunteers generally have difficulty finding placements, and most NGOs are still inexperienced in training, managing, and motivating volunteers. The Volunteer Center Association educates Polish citizens about the concept of voluntary work and has created a network of volunteer centers that train NGO and social service staff in recruiting, managing, and supporting volunteers. The association received a 1998 grant to strengthen this network and to establish similar volunteer centers in other countries in the region.

## RELATIONSHIPS WITH OTHER SECTORS

The gradual withdrawal of national governments from funding needed social services has made cooperation among the nonprofit, public, and for-profit sectors — each contributing important financial, human, and structural resources — increasingly critical if the availability of such services is to be assured. Two of the first independent organizations dedicated to nurturing the growth of the nonprofit sector in Central and Eastern Europe are the Civil Society Development Foundation in Hungary and the Civil Society Development Foundation in Poland. Under a joint “Bridging the Sectors” project, the two foundations are publishing a directory of corporate giving, encouraging companies to permit employees to volunteer in community programs during working hours, and promoting cooperative efforts between NGOs and local government to deliver social services.

In Asia, two recent developments — the nonprofit sector's recent rapid expansion and the economic crisis that has affected all segments of society — have converged to prompt a new emphasis by the sector on partnerships with government and business. The Asia Pacific Philanthropy Consortium, a project of the San Francisco-based Asia Foundation, is playing an important role in encouraging Asian corporations and business associations to become engaged in social development. The consortium is also expanding to South Asia.





For years volunteerism has had a negative connotation in Central and Eastern Europe, as many citizens were forced to "volunteer" for public projects during the communist era. Since 1989, the rapid growth of nonprofit organizations in the region and the increased pressure on those groups to deliver social services have created a growing need for individuals to donate their time to third sector work. In 1994, the RBF helped establish the Volunteer Center Project of the Support Office for the Movement of Self-Help Initiatives, a resource agency for social service NGOs in the Warsaw province. The project was the first to promote voluntary citizen action in the region, and subsequently introduced volunteerism nationwide through a network of ten volunteer centers in Poland. Last year, the Volunteer Center Project became an independent organization, the Volunteer Center Association (VCA), which now plans to help establish and support new volunteer centers in neighboring countries.



## INFORMATION AND ACCOUNTABILITY

By furnishing information on foundations and their work to scholars, policymakers, journalists, and the public, the Foundation Center serves as a vehicle for philanthropic accountability—a crucial function, given the growing public attention to and scrutiny of foundations and their practices. As part of an RBF-supported effort to redesign its grantmaker database, the center is devising a system for direct electronic reporting from foundations, through which new information can be processed continuously and disseminated as soon as it is received. The new system will also enable the database to program the center's new publications on CD-ROM and produce camera-ready material for its printed directories.

Nonprofit groups and NGOs also need to make information on their work available to the public and could benefit from the use of new communications technologies. The Rockefeller Family Fund's Technology Project helps nonprofits as well as foundations evaluate their options for integrating advanced technologies into their programs. In addition to organizing demonstrations and presentations at conferences, the project has created a Web page and an electronic support group and is developing a network of technical assistance organizations that serve the nonprofit sector.

The single greatest source of information about nonprofit groups' resources, activities, and accomplishments—a source heavily relied on by funders, watchdog groups, government regulators, journalists, and the general public—is IRS Form 990. Most nonprofits are required to file the form annually and to make copies available on request. The Support Center for Nonprofit Management has launched a project to improve the quality of information reported by nonprofits on this and other forms. Central to the effort will be the publication of a guide to establishing a comprehensive nonprofit accounting and budgeting system that meets nonprofit groups' internal and external reporting needs. An important supplement to these data is the state-level information collected by the more than 30 state-level associations of nonprofit organizations. The Urban Institute's Center for Charitable Statistics is creating and testing a prototype database management system, the aim of which is to promote the standardization of state-level data and improve the quality of national data as well.

For the nonprofit groups, NGOs, and foundations that constitute the nonprofit sector, the provision of a range of information about their roles and activities is a vital response to their myriad challenges. Furnishing such information can not only help these organizations deal with the need for accountability; it can also help them bridge the gaps between sectors and disciplines, inspire and facilitate civic engagement and volunteerism, and develop a clear, informed vision of the future of this complex and dynamic sector.

DEVELOPMENT OF RESOURCES

THE ASIA FOUNDATION

San Francisco, California \$150,000 over 3 years

Toward the second phase of the Asia Pacific Philanthropy Consortium, designed to strengthen and increase the effectiveness and awareness of philanthropy within and to the Asia Pacific.

CENTER FOR COMMUNITY CHANGE

Washington, D.C. \$10,000

As a contribution toward the Pablo Eisenberg Fund, which will give the center opportunities at the grassroots level to strengthen communities.

CIVIL SOCIETY DEVELOPMENT FOUNDATION

Budapest, Hungary up to \$100,000 over 2 years

To maintain and expand support services for non-governmental organizations in Hungary, including consultancies, networking and publishing, and facilitating inter-sectoral higher education.

CIVIL SOCIETY DEVELOPMENT FOUNDATION

Warsaw, Poland up to \$100,000 over 2 years

To maintain and expand support services for non-governmental organizations in Poland, including consultancies, networking and publishing, and facilitating inter-sectoral higher education.

FAMILY FOUNDATION OF NORTH AMERICA

Milwaukee, Wisconsin \$24,000 over 2 years

To enable representatives from the National Association of Homes and Services for Children, which just merged with Family Service America, to participate in a model capacity-building program for member agencies.

FRIENDS OF HUNGARIAN HIGHER EDUCATION FOUNDATION

Budapest, Hungary \$38,550

Toward the Alumni Development Project, which will help colleges and universities in Hungary establish alumni development offices to cultivate valuable new sources of income.

FUND FOR INDEPENDENT PUBLISHING

New York, New York \$191,000 over 3 years

Toward the costs of implementing an in-house direct sales program and creating a presence on the Web for The New Press.

HARVARD UNIVERSITY: JOHN F. KENNEDY SCHOOL OF GOVERNMENT

Boston, Massachusetts total \$380,000

\$300,000 over 3 years toward an Executive Session on Policies and Practices in Philanthropy, convened by the Hauser Center of the John F. Kennedy School of Government.

\$80,000 over 2 years for the Saguaro Seminar: Civic Engagement in America, an initiative that focuses on how to build bonds of civil trust among Americans and within their communities.

INDIANA UNIVERSITY FOUNDATION

Bloomington, Indiana \$25,000

Toward the planning phase of a project, led by Central European University, to create a center for nonprofit sector development in the region.

JOHNS HOPKINS UNIVERSITY

New York, New York \$60,000 over 2 years

For the Institute for Policy Studies' International Philanthropy Fellows program, which improves training and access to nonprofit sector resources for scholars and practitioners working in the field.

NATIONAL COUNCIL OF NONPROFIT ASSOCIATIONS

Washington, D.C. \$15,000

Toward a special meeting of the council's member organizations, which will provide an opportunity to identify and explore issues facing state and regional nonprofit associations.

ROCKEFELLER FAMILY FUND

New York, New York \$65,000 over 2 years

For its Technology Project, an initiative to help nonprofit organizations and foundations implement Internet and other new technologies.

SLOVAK ACADEMIC INFORMATION AGENCY—SERVICE CENTER FOR THE THIRD SECTOR

Bratislava, Slovakia \$5,000

Toward the publication of a report summarizing the discussions and results of a summit meeting on "Civil Society: Hope of a United Europe," held in Slovakia.

VOLUNTEER CENTER ASSOCIATION

Warsaw, Poland up to \$90,000

For general support to strengthen volunteer referral centers in Poland and to help establish centers in neighboring countries.

THE WASHINGTON CENTER FOR INTERNSHIPS AND ACADEMIC SEMINARS

Washington, D.C. \$25,000

Toward a strategic planning process to consider how the center, which helps colleges arrange full time, for-credit internships in nonprofit or government settings, should manage the challenges and opportunities that lie ahead.

ACCOUNTABILITY

THE FOUNDATION CENTER

New York, New York \$100,000 over 2 years

For the redesign of its database, a resource containing information on grantmaking foundations, corporate giving programs, and a growing body of additional funding information.

SUPPORT CENTER FOR NONPROFIT MANAGEMENT

San Francisco, California \$50,000 over 2 years

Toward a project to improve the accuracy and reliability of the IRS Form 990 as a source of data about nonprofit organizations and to promote uniformity and comparability in nonprofit reporting.

ULANOV PARTNERSHIP

Princeton, New Jersey \$75,000

Toward the planning and organization of a Commission on Nonprofit Governance to define recommended standards for nonprofit boards and voluntary compliance mechanisms that are appropriate to different types of organizations.



**VOLUNTEER CONSULTING GROUP**

New York, New York \$120,000 over 3 years

Toward the National Board NET, an online network of community-based programs that bring together non-profit boards and potential board members.

**INCREASED UNDERSTANDING****AMERICAN ASSEMBLY**

New York, New York \$25,000

Toward "The Future of Philanthropy in a Changing America," a conference examining the future role of private philanthropy and the nonprofit sector.

**APPLIED RESEARCH AND DEVELOPMENT INSTITUTE INTERNATIONAL, INC.**

Denver, Colorado \$37,000

Toward a project on leadership and management in the nonprofit sector, designed to educate nonprofit leaders on effective cross-sectoral management techniques, and to give them greater access to relevant research findings.

**ASSOCIATION FOR RESEARCH ON NONPROFIT ORGANIZATIONS AND VOLUNTARY ACTION**

Indianapolis, Indiana \$75,000 over 3 years

For a project designed to improve quality of information about the nonprofit sector available to nonprofit practitioners, policymakers, the media, and the public.

**CIVICUS: WORLD ALLIANCE FOR CITIZEN PARTICIPATION**

Washington, D.C. \$25,000

Toward completion of a "legacy report" prepared by CIVICUS' recently retired executive director.

**FOUNDATION FOR A CIVIL SOCIETY, LTD.**

New York, New York \$100,000

\$100,000 over 2 years for general support of the foundation, which strengthens civil society, promotes the rule of law, and improves the quality of life in the Czech Republic and Slovakia.

**FOUNDATION FOR A CIVIL SOCIETY - SLOVAKIA**

Bratislava, Slovakia \$25,000

\$25,000 for a nonpartisan initiative of nongovernmental organizations designed to help ensure free and fair parliamentary and local elections in Slovakia.

**JAPANESE NGO CENTER FOR INTERNATIONAL COOPERATION**

Tokyo, Japan \$40,000

For efforts to strengthen the commitment of Japanese civil society to global issues, including sustainable development, and to provide information/technical assistance to Japanese nonprofits.

**THE UNION INSTITUTE**

Cincinnati, Ohio \$250,000 over 2 years

Toward the Changing Charity Project of the Institute's Center for Public Policy, a two-year initiative that will involve nonprofit leaders and practitioners in analyzing the characteristics of nonprofit organizations, examining new challenges, and developing strategies to meet them.

**THE URBAN INSTITUTE**

Washington, D.C. \$30,000

Toward a project of its National Center for Charitable Statistics to develop a database for state associations of nonprofit organizations.

**PHILANTHROPIC SUPPORT ORGANIZATIONS****COUNCIL ON FOUNDATIONS**

Washington, D.C. \$34,600

General support for 1999. The council has over 1,400 private, family, corporate, foreign, community, and public grantmaking members, and works to promote the growth of responsible and effective philanthropy.

**FOUNDATION CENTER**

New York, New York \$60,000 over 2 years

General support for this organization, which fosters public understanding of foundations through research and analysis, and information collection and dissemination.

**INDEPENDENT SECTOR**

Washington, D.C. \$10,250

General support for 1999 for this national organization of foundations, corporations, and voluntary organizations, which works to encourage philanthropy, volunteering, not-for-profit initiative, and citizen action.

**NEW YORK REGIONAL ASSOCIATION OF GRANTMAKERS**

New York, New York \$7,700

General support for 1999. The association, which includes more than 150 grantmaking organizations in the tri-state area, promotes and supports effective philanthropy and concerted action for the public good.

**ROCKEFELLER FAMILY FUND**

New York, New York \$1,000

Membership renewal in the Environmental Grantmakers Association for 1998.









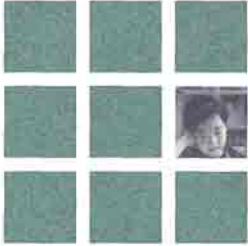
## PROGRAM GUIDELINES

Pending a review of past Education grantmaking and possible future program directions, the RBF is focusing on a single funding strategy:

**LEADERSHIP:** Through Rockefeller Brothers Fund Fellowships and related programs, supporting a cohort of outstanding minority college students — Fellowship recipients from 1992 through 1997 — as they undertake graduate teacher education, teach in public schools, and assume leadership positions in the field of public education.

*As of 1998, and until further notice, the Fund will not be awarding any new Fellowships for Minority Students Entering the Teaching Profession.*

# Education



The fundamental aim of the RBF's Education program has been to improve student learning in the nation's public schools by enhancing the quality of teachers and school administrators. Under the broad heading of "improving student learning," grants have been awarded in pursuit of two distinct objectives: meeting the cognitive development needs of very young children, and serving an increasingly diverse public school population. During 1997 and again in 1998, as described below, the strategic focus of grantmaking was on efforts to identify and encourage prospective *leaders* in early childhood education and in elementary and secondary education. In accordance with this focus, a special leadership program was developed for recipients of RBF Fellowships for Minority Undergraduates Entering the Teaching Profession.

Starting in 1999 and pending the completion of an internal review of its education grantmaking, the RBF intends to focus exclusively on the leadership phase of its fellowship program.

## LEADERSHIP IN EARLY CHILDHOOD EDUCATION

Over the past several years, a convergence of national concerns and scientific research has led to the recognition that learning programs for young children are integral to the nation's social and economic well-being. Recent research findings on brain development have drawn attention to the importance of the first years of life for cognitive growth—and to the societal costs of continuing to neglect the early childhood needs of poor youngsters. At the same time, policymakers have come to realize that women's employment, a cornerstone of welfare reform, is possible only if mothers can find reliable care for their preschool children during working hours. Making high-quality early childhood education available to all children, but especially to poor children, is increasingly viewed as a desirable way to improve the nation's future workforce while simultaneously supporting the present one.

Obstacles to achieving this goal are considerable. Perhaps the most daunting is the relatively low level of public investments in early childhood programs; without meaningful increases, staff and teacher training will remain deficient, wages low, and turnover high. In addition, divisions and tensions within the early care and education field have serious implications for the professional development of staff. Community-based programs tend to recruit staff from among the parents of the children they serve; as a result, such programs must provide training for employees who may be just leaving the welfare rolls and who may be enrolling in college-level courses for the first time. In contrast, public school preschool programs are often staffed by credentialed teachers who have graduate degrees but no specialized training or experience in working with young children. The challenge for the field as a whole is to develop a broad vision that will encompass a wide range of professional career patterns with numerous entry points and lead to the creation of systems and policies to serve personnel from different backgrounds in different settings.

In 1998 the RBF made grants to several organizations that are assisting leaders and coalitions committed to bringing about broad changes in the early childhood field that will benefit young children, their



## LEADING EFFORTS TO STRENGTHEN PUBLIC EDUCATION



The RBF's Fellowships for Minority Students Entering the Teaching Profession program, initiated in 1992, has recruited 104 women and 46 men. Of the 150 fellows, 71 identified themselves as African American or black; 49 as Latino, Mexican, or Mexican American; 20 as Asian or Pacific Islander; and 10 as Native American. The RBF is now analyzing these and other data as part of an evaluation of the fellowship program's efforts to increase the numbers and excellence of minority teachers teaching in the nation's public schools. The data will also help determine how successful the program has been in making liberal arts campuses more aware of the value of public

school teaching as a career and in encouraging the fellows to teach in public schools most in need of excellent minority teachers. Finally, the evaluation will enable the Fund to draw conclusions not only about strategies for increasing the number and quality of minority teachers but also about the value of having minority teachers in public schools and about teacher education more broadly.

A further goal of the program—developing a corps of leaders for educational improvement—is being pursued under a second phase, the Program for Educational Leadership, which was created in 1997 to provide selected RBF fellows with continuing encouragement and assistance as they begin their teaching careers. The program is based on several premises:

- Education professionals can *serve as leaders in several ways*: as classroom teachers, as school administrators, and as policymakers.
- Educational leaders are characterized not by their position but rather by a *commitment to working for educational change*.
- A variety of techniques are available to educational institutions interested in *fostering leadership*—organizing collaborative peer groups, teaching advanced administrative skills, and creating career opportunities.
- For education professionals to become leaders in schools, they need to be *linked to local communities*.

Of the 11 women and 4 men in the first class of leadership fellows, most are classroom teachers working with students in a variety of socioeconomic settings. In addition to carrying out a project to develop their leadership skills, they are

taking part in electronic networking, attending leadership meetings and workshops, and pursuing independent study. Like the fellowship component of the program, the leadership development phase will be formally evaluated upon its conclusion.



These photos of RBF Fellow Deborah Saintil, a teacher in the Dorchester, Massachusetts, public schools, are drawn from a profile that appeared in *The Boston Globe Magazine* (October 18, 1998).



**CROSS-REFERENCE:**  
The Fund's New York City program recognizes that improving public education is both an important goal in its own right and—significantly—a rallying cry and vehicle for building the civic engagement and community capacity that are the overall goals of RBF grantmaking in the city.

families, and the nation as a whole. At Teachers College, Columbia University, the new Early Childhood Education Leadership Program is designed to increase the number and the quality of college students who earn a degree in early childhood education. The program, which emphasizes the recruitment of minority students, includes courses on early childhood leadership that concentrate on the role of the childcare center director.

Another grantee, Wheelock College's Center for Career Development in Early Care and Education, fosters partnerships among national, state, and local organizations and among public and private institutions to create and strengthen career paths for early childhood educators. The center has launched Taking the Lead, a program that pursues two strategies: developing the skills of new and existing leaders, and fostering the creation of a credential for program directors in public school prekindergartens, Head Start programs, and childcare centers. The results of an evaluation of the program's pilot projects will be shared with other national organizations that are promoting reforms in the early childhood education field. In supporting this program, the RBF is joined by a number of other foundations that belong—like the RBF—to an Early Childhood Funders Collaborative of eighteen grantmakers active in the early childhood area.

Over the years, the Center for the Child Care Workforce (formerly the National Center for the Early Childhood Workforce) has established several leadership training initiatives. They include the Early Childhood Mentoring Alliance, which helps experienced teachers develop the skills to become on-the-job trainers for newly recruited childcare staff; the Worthy Wage Campaign, whose fifteen state chapters advocate for improved childcare employment practices; and the leadership skills development segment of Wheelock College's Taking the Lead program. Now RBF funds are enabling the center to create the Leadership Institute, a one-year academic, credit-bearing program to begin in 2000, that will bring all these endeavors together. The goal is to build a diverse leadership corps within the childcare workforce and a unified voice for high-quality services for young children.

Several states across the nation—among them New York, New Jersey, and Connecticut—are pioneers in creating early learning systems to help young children make a successful transition to the primary grades. As these three states launch innovative, large-scale prekindergarten programs, policymakers and program specialists are focusing on teacher training, community engagement, financing, and evaluation, among other issues. Helping these state-level leaders share information on common concerns is the aim of the new Tri-State Early Childhood Quality Improvement Network, which is to be staffed by the Connecticut Commission on Children. Through information exchange and peer assistance, the network is likely to produce new strategies, linkages, and resources that will improve early childhood education, not only in these states but elsewhere as well.

## **LEADERSHIP IN ELEMENTARY AND SECONDARY EDUCATION**

The enrollment of minority students in the nation's public schools is increasing dramatically—a shift that is not yet mirrored in the composition of the teaching force. As a result, many minority students attend schools where they rarely or never see teachers whose backgrounds are similar to theirs and where their own culture may be neither valued nor acknowledged. The RBF's Fellowships for Minority Students Entering the Teaching Profession, which were awarded from 1992 through 1997, enabled promising minority undergraduates in the arts and sciences to pursue a graduate degree in education or a related field and to teach in a public school. The 150 students recruited during those six years constitute an exceptional group: dedicated, articulate young people, from different backgrounds and from different parts of the country, who have shown a real capacity for leadership.

The RBF has accordingly created a new phase of the fellowship program, one designed to maximize fellows' leadership potential. The Program for Educational Leadership, a three-year pilot effort, is open to fellows



who have completed their graduate studies and at least three continuous years of public school teaching or work in other areas of education. Based on the belief that experience is the most useful form of training, the program helps participants acquire leadership skills and experiences by working with them as they design and carry out their own educational projects. Projects currently being planned include an effort to provide after-school computer training for low-income Asian parents; the use of local museums as educational settings to increase literacy and improve the self-esteem of disadvantaged elementary school students; and a program for Latino parents that explains the importance of higher education, especially for their daughters. The range and creativity of these projects are testimony to the idealism, conscientiousness, and critical intelligence of the fellows — qualities sorely needed in American education today.

## EDUCATION • 1998 GRANTS

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### EARLY CHILDHOOD

#### CENTER FOR THE CHILD CARE WORKFORCE

Washington, D.C. \$20,000

Toward the planning of an annual Leadership Institute, to begin in 2000, that will bring all of the center's leadership training efforts together in an attempt to build an effective, diverse leadership corps within the childcare workforce.

#### CONNECTICUT COMMISSION ON CHILDREN

Hartford, Connecticut \$30,000

Toward planning for a Tri-State Early Childhood Quality Improvement Network, which will serve as a peer assistance resource for leaders from each state.

#### TEACHERS COLLEGE, COLUMBIA UNIVERSITY

New York, New York \$60,000

For the Early Childhood Leadership Program, an initiative to improve and extend the college's early childhood education degree program.

### WHEELOCK COLLEGE

Boston, Massachusetts \$100,000

To the Center for Career Development in Early Care and Education for its Taking the Lead program, which will work to strengthen, expand, and diversify the training capacity and infrastructure of early childhood education.

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### PARTICULAR MERIT

#### THE CENTER FOR ARTS EDUCATION

New York, New York \$300,000 over three years

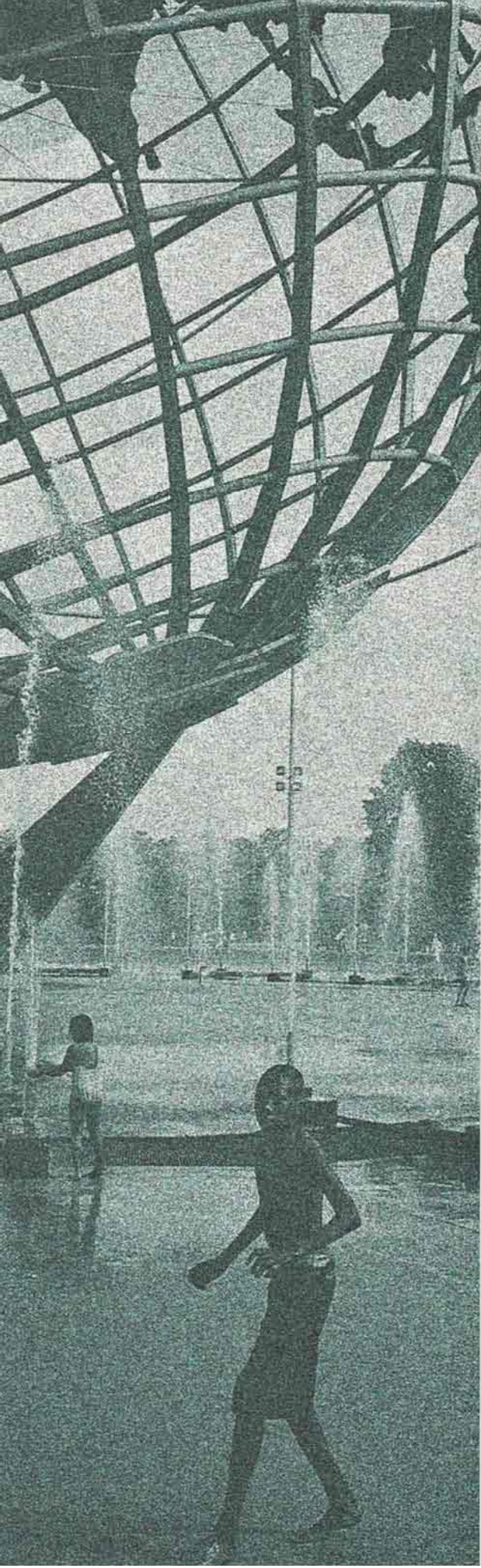
Toward the Center's effort to match a \$12 million challenge grant from the Annenberg Foundation and meet its five-year, \$24 million fundraising goal.



NEW YORK CITY







## PROGRAM GUIDELINES

### GOAL

To strengthen and enhance civil society in New York City by supporting efforts to build civic engagement and capacity in communities.

### STRATEGIES

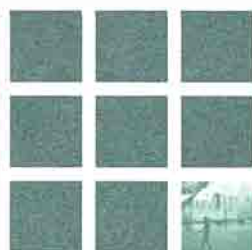
**SCHOOLS AND YOUTH:** Encouraging the development of constituencies for public education, promoting civic responsibility for educational improvement, and fostering creative, responsible citizenship among youth.

**NEIGHBORHOODS AND PUBLIC SPACES:** Assisting neighborhood-based projects that encourage respect and care for the physical and natural environment and that develop or reclaim public space in order to enhance the security and the civic, spiritual, and community life and history of neighborhoods.

**CIVIC PARTICIPATION:** Supporting civic participation and inclusive public discourse, promoting accountability of institutions vested with the public trust, and forging a common sense of purpose within and among communities.



## New York City



In pursuit of its goal of building civic engagement and capacity in New York City's neighborhoods, the Fund acknowledges the potential strengths of individuals and groups alike. In addition to supporting efforts to help citizens acquire the skills and information they need to take the lead in improving the quality of life in their communities, the RBF focuses on helping to broaden constituencies for projects that can become catalysts for neighborhood revitalization. Most of the leadership

development and constituency-building grants awarded under the New York City program in 1998 were for efforts to improve public schools, promote responsible citizenship among young people, and enhance open spaces.

### ORGANIZING PARENTS FOR SCHOOL REFORM

School governance legislation recently enacted in New York State is enabling traditionally disenfranchised New York City parents to play a larger role in school-based decision-making and make their voices increasingly heard on a number of educational issues. Parents are also beginning to demand greater accountability by schools and policymakers for students' performance. Mobilizing more parents—and the community groups to which they belong—could bring new energy to the struggle for high-quality public schools and improved academic outcomes for all students.

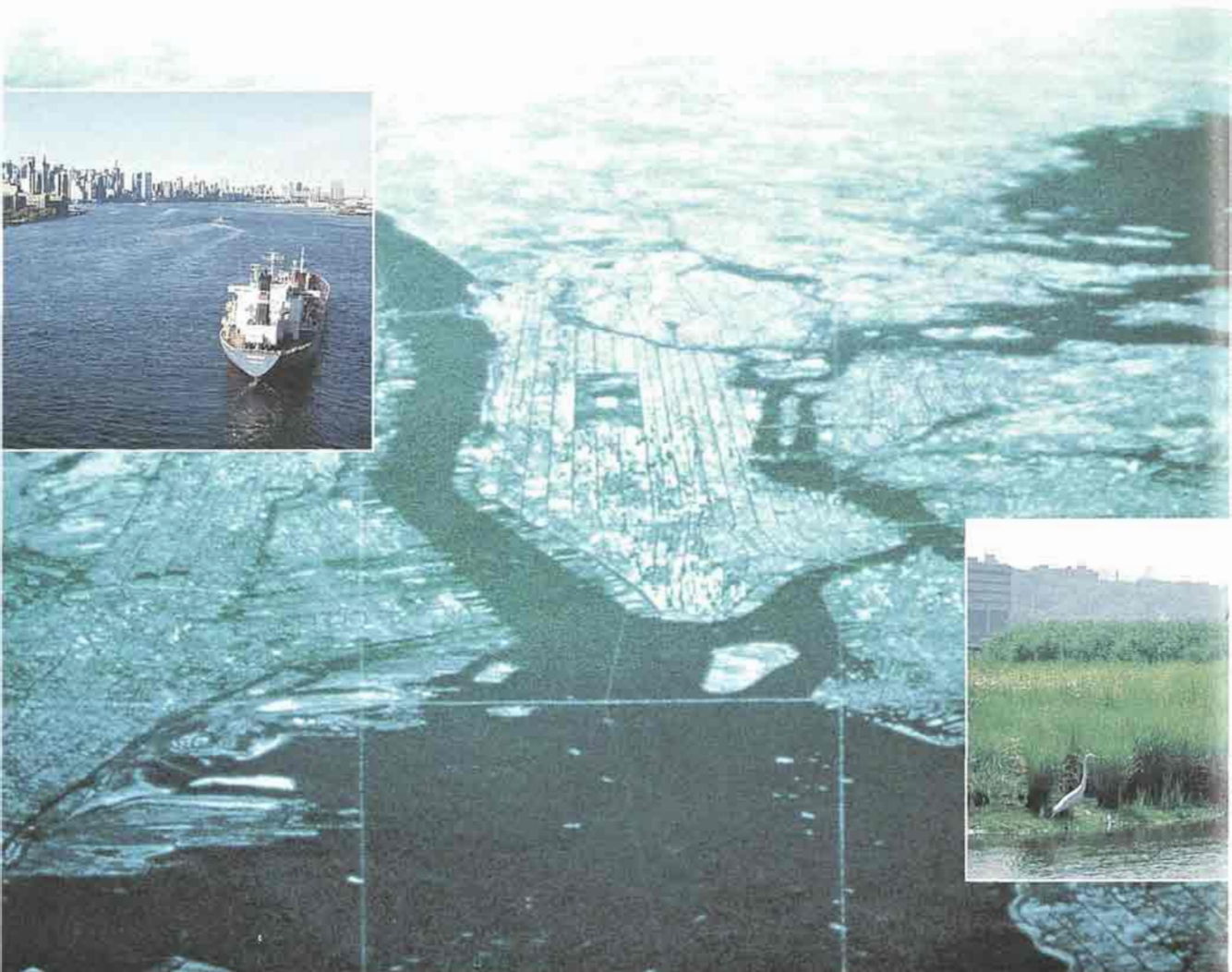
For parents and community groups to be effective, however, they must be informed about the conditions of local schools and about the kinds of interventions that can bring about improvements. Among the 1998 RBF grantees addressing this challenge is the Community Involvement Program, which operates under the auspices of New York University's Institute for Education and Social Policy. The program works with a citywide coalition of groups representing parents, youth, teachers, and neighborhood leaders committed to education reform in poorly served neighborhoods. To expand the number of groups aiming to improve the city's public schools, the program is reaching out to youth development organizations and other community groups not currently involved with education.

An additional opportunity for parents to participate in attempts to reform local schools comes from amendments to Title I of the national Elementary and Secondary Education Act. Through Title I funding, schools and districts with large low-income populations and poor levels of student achievement receive assistance in adopting strategies to improve academic outcomes. One of the requirements of the new legislation is that parents be involved in planning, implementing, and overseeing the program. The Queens Legal Services Corporation's Title I project in three of the borough's elementary schools is designed to help parents become informed advocates for improving their children's schooling. Under this pilot initiative, parents are gaining experience in assessing the effectiveness of Title I programs, reaching consensus about practical ways to help their children succeed, and asserting their rights to play a role in making schools better. The project is expected to produce materials and strategies valuable to other community groups as they advance partnerships among parents, teachers, and school administrators.

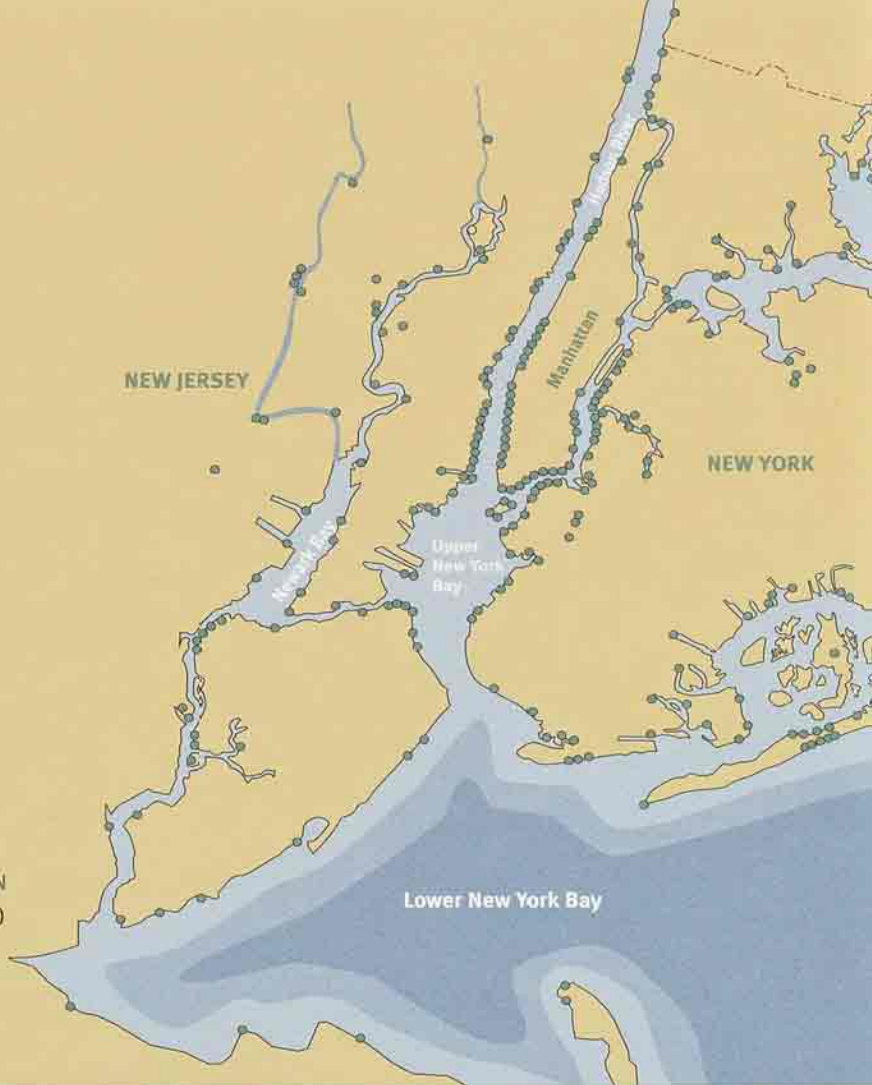


Parental and community involvement will be critical to the success of another school reform effort: the implementation of rigorous academic standards for students at all levels. A pilot project of the Public Agenda Foundation and New Visions for Public Schools is offering information about these “new standards” to parents and community groups in Brooklyn. Lessons learned from organizing public forums on the standards, training community members to moderate the forums, and producing guides for the planners, moderators, and participants will be publicized among schools throughout the city.

The issue of school finance represents a further opportunity to bring parents, teachers, and concerned citizens together to find common ground and build civic capacity for reforming the city’s schools. Under New York State’s school financing system—an amalgam of inconsistent formulas, grants, caps, and other provisions that have emerged over years of compromise—less aid is allocated per pupil in the city than anywhere in the state. The Campaign for Fiscal Equity is surveying parents and community organizations about whether local public schools have the class offerings, facilities, technology, staffing, and other resources essential to provide a sound basic education. The campaign will draw on the results of the study to educate citizens about options for change and to encourage them to become advocates for fair funding and better schools.



**AN EXTENSIVE REGIONAL WATERFRONT:** As depicted in an early aerial view, the New York/New Jersey metropolitan area is permeated—and, in fact, nurtured—by a vital water-based, water-linked system. Part saltwater and part freshwater, this ecosystem includes New York Harbor, the Hudson/Raritan Estuary, and three other major rivers, as well as streams, an archipelago of islands and upland watershed lands, and hundreds of miles of shoreline.



### WATERFRONT AREAS IN TRANSITION

Green dots indicate near-term (0-12 month) development opportunities identified by Opportunities for the NY/NJ Waterfront, Fall 1998.

### SAFEGUARDING A PRECIOUS RESOURCE

For decades, residents of the New York/New Jersey region have been cut off from the water that surrounds them. Now, though, many communities are reconnecting with this precious resource, by recognizing the importance of protecting it—and finding opportunities for doing so.

To explore these opportunities, the RBF and other foundations in 1998 joined in funding a waterfront reconnaissance of the region. Members of the reconnaissance team talked to journalists, metropolitan area residents, and political, civic, environmental, and business leaders to learn about existing efforts to benefit from and safeguard the region's increasingly clean waterways. Among their discoveries: new forms of public access to the water, revived forms of waterborne transportation, restored wetlands, and activities ranging from eco-tours to boat-building by children. They also encountered numerous underused waterfront properties that could be converted to parks, wildlife habitat, and water-enhanced development projects.

The RBF-funded "Waterfront Project" (described in the accompanying text as the Opportunities for the New York/New Jersey Waterfront initiative) was launched subsequently to build broad constituencies for such projects. It has both a regional and a local goal: protecting the metropolitan area's environmental health, while fostering the creation of parks and other open-space projects that can become catalysts for revitalizing New York City's neighborhoods. The ultimate aim is to ensure that waterfront issues become high-priority concerns throughout the region, for citizens and policymakers alike.



**CROSS-REFERENCE:** Watershed planning has been a focus of the RBF's Sustainable Resource

Use program in recent years, as the Fund has increasingly taken an integrated, ecosystem-wide approach to issues of environmental stewardship and land-use planning. (In fact, RBF support for the Waterfront Project described here came from both the New York City and Sustainable Resource Use program budgets.)



## ORGANIZING YOUNG PEOPLE FOR SOCIAL CHANGE

Efforts to strengthen New York City's neighborhoods could benefit from the involvement of another largely untapped resource: young people. Several RBF-funded projects are bringing young citizens into contact with community representatives and school administrators and helping them acquire skills in communicating, negotiating, and solving problems. The aim is to foster partnerships and networks that can sustain leadership development as an integral component of youth programs.

In 1998, for example, the Coro Eastern Center received support to expand its youth leadership training in underserved neighborhoods by creating partnerships with several large high schools and with community organizations that have after-school programs. Support is also going to Global Kids, for training young people to design and carry out social action projects; to Directions for Our Youth, for teaching them how to work within and challenge bureaucracies; and to the Latino Pastoral Action Center's Youth Ministries for Peace and Justice, for helping them formulate strategies to deal with housing, environmental, and community policing concerns.

## BUILDING CONSTITUENCIES FOR OPEN SPACES

An additional RBF strategy for promoting civic engagement and strengthening New York City neighborhoods is to encourage the community-based preservation and development of open spaces and local gardens. The potential benefits are numerous: attractive open spaces promote increased safety, commercial investment, and civic pride and responsibility. Like education reform efforts, open space development and preservation projects also build the leadership skills and civic capacities of individuals and groups alike. As a result, the Fund's 1998 grantmaking in this area concentrated not only on producing outcomes—more inviting open spaces—but also on enabling citizens to make informed decisions about funding, managing, and maintaining open spaces and on creating strong regional, city, and neighborhood constituencies.

One such project, an initiative of the Center for Community and Environmental Development at Pratt Institute, is laying out a long-term program of investments and of policy and institutional changes to rebuild the metropolitan region's economic, social, and environmental systems. The center is bringing a variety of New York City leaders together to devise transportation, education, employment, and economic development strategies. Subsequent neighborhood forums and seminars will enable community-based organizations, civic associations, labor unions, and small businesses to evaluate and modify these strategies.

The greater New York/New Jersey metropolitan region's waterfront represents a remarkable natural, cultural, recreational, and economic resource—but one that is underutilized and largely inaccessible. In 1998 an initiative known as Opportunities for the New York/New Jersey Waterfront was created under the auspices of the H<sub>2</sub>O Fund at the New York Community Trust to examine the waterfront's potential for redevelopment, build constituencies for sustainable waterfront reclamation projects that are already under way, and identify redevelopment opportunities and threats that are not yet being addressed. The initiative is planning a September 1999 "waterfront conference" that will focus on key issues and priorities for a long-term waterfront development strategy and launch a multiyear effort to increase public awareness of and involvement in waterfront issues.

At the city level, the Youth, Community Gardens and the Urban Environment Collaboration of the Philanthropic Collaborative is considering both the short-term viability and the long-term sustainability of community open spaces throughout the five boroughs. In addition to assisting local groups that are working to preserve their gardens, the coalition is developing a citywide constituency in support of community open space preservation.

Within individual neighborhoods, community-building approaches to the planning and implementation of public space initiatives are the focus of several grantees, three in Manhattan. On the Lower East Side, the Cooper Union for the Advancement of Science and Art is launching an open space and neighborhood revitalization plan, which envisions a redesigned public area that will serve as an anchor for a wider community, cultural, and business revival. Cooper Union will sponsor public forums, recruit business support, and foster partnerships with planning, environmental, and transportation advocacy groups. The Cityscape Institute, an undertaking of the Fund for the City of New York, is continuing its demonstration projects in Harlem to foster and sustain partnerships among community residents, government officials, and local businesses for the design and maintenance of coordinated streetscapes and open spaces. On the West Side, the Open Space Institute's Hudson River Park Alliance—a coalition of environmental, civic, and community groups—is organizing citizens to advocate for the construction of a waterfront park. In Queens and Staten Island, the Parks Council is working with residents and with representatives of local schools and community groups to design and develop two open space projects, each in an economically disadvantaged neighborhood, and to strengthen local constituencies for green open spaces.

These open space initiatives, and the other capacity-building projects funded in 1998 by the RBF's New York City program, serve two purposes. First, by providing information about local issues, furthering community partnerships, and helping adults and young people acquire vital leadership skills, the projects help address the city's need for better schools and safer, more inviting public spaces. Less concretely—but no less significantly—they foster stronger neighborhoods and a more effective, engaged citizenry.



## NEW YORK CITY • 1998 GRANTS

### SCHOOLS AND YOUNG PEOPLE

#### CAMPAIGN FOR FISCAL EQUITY, INC.

New York, New York \$50,000

For a public engagement survey project on New York City schools that will provide a picture of the additional resources needed to enable students in the public school system to succeed.

#### CORO EASTERN CENTER

New York, New York \$125,000 over 2 years

To expand its youth leadership development program and encourage civic participation among youth by establishing new partnerships with community-based organizations and schools.

#### DIRECTIONS FOR OUR YOUTH

New York, New York \$70,000 over 2 years

To strengthen its Class Action program, which empowers young people to have an impact on the educational and political system through team building and problem solving.

#### GLOBAL KIDS

New York, New York \$50,000

For the second phase of its Power of Citizenry program, a multicultural network of informed and active young citizens who work together to effect change in their communities and schools.

#### LATINO PASTORAL ACTION CENTER

New York, New York \$60,000 over 2 years

Toward its Youth Ministries for Peace and Justice, which fosters leadership skills and encourages youth participation in decision making that affects the development and sustainability of their communities.

#### NEW YORK UNIVERSITY

New York, New York \$60,000

For its Institute for Education and Social Policy's Community Involvement Program, which fosters the leadership, membership, and strategic capacities of community organizations working for school reform.

#### PHILANTHROPIC COLLABORATIVE

New York, New York \$35,000

For a project to provide technical assistance to local community gardening groups, and to build a broad-based, citywide constituency in support of community open space preservation.

#### PUBLIC AGENDA FOUNDATION, INC.

New York, New York \$50,000

Toward its New York City Standards Reform Public Engagement Project, designed to involve parents and communities in standards-based school reform.

#### QUEENS LEGAL SERVICES CORPORATION

Jamaica, New York \$50,000

Toward a program aimed at helping low-income parents become informed and effective school improvement advocates by providing them with information and strategies to engage in Title I decision making.

### COMMUNITY LIFE

#### COOPER UNION FOR THE ADVANCEMENT OF SCIENCE AND ART

New York, New York \$200,000 over 2 years

To launch the Cooper Square Transformation Project, a comprehensive and innovative plan to redevelop and renew the streetscape of New York's City's Cooper Square.

#### FUND FOR THE CITY OF NEW YORK

New York, New York \$100,000

Renewed support of Cityscape Institute's open space initiative in Harlem, which advances citizen-government partnerships to establish and maintain streetscape redevelopment projects.

#### HOUSING PARTNERSHIP DEVELOPMENT CORPORATION

New York, New York \$25,000

As a contribution to preparations for a summit meeting of the Pocantico Roundtable for Consensus on Brownfields.

#### NEW-YORK HISTORICAL SOCIETY

New York, New York \$15,000

Support for an exhibition on Paul Robeson, a figure of great importance to the cultural and historical traditions of America and New York City.

#### OPEN SPACE INSTITUTE

New York, New York \$40,000

For the constituency-building efforts of the Hudson River Park Alliance, a group supporting the creation of a continuous park along New York City's Hudson River.

#### PARKS COUNCIL

New York, New York \$150,000 over 2 years

For open space initiatives fostering community partnerships and citizen participation in economically disadvantaged neighborhoods in Queens and Staten Island.

### CIVIC PARTICIPATION

#### CUNY GRADUATE CENTER FOUNDATION, INC.

New York, New York \$25,000

Toward the Center's development plan and relocation to a historic building on Fifth Avenue, which will preserve and highlight one of New York City's landmark buildings.

#### PRATT INSTITUTE

New York, New York \$125,000 over 2 years

For a project of its Center for Community and Environmental Development to encourage community business leader engagement in New York City's environmental issues.



SOUTH AFRICA







## PROGRAM GUIDELINES

### GOAL

To improve the quality and accessibility of basic education for children and adults in South Africa, in the areas of early childhood development, lower primary learning, and adult basic education and training.

### STRATEGIES

**PROMISING MODELS:** Supporting the introduction and evaluation of promising basic education models.

**IN-SERVICE TEACHER DEVELOPMENT:** Advancing in-service development of lower primary school teachers.

**INSTITUTIONAL CAPACITY BUILDING:** Strengthening the institutional capacity of nonprofit organizations, university programs, and government agencies in the field of basic education, including:

- a) Encouraging documentation, reflection upon, and dissemination of lessons learned, and
- b) Facilitating cross-sectoral linkages and collaboration—among nonprofit organizations, universities, and government agencies.

**FINANCIAL SELF-SUFFICIENCY:** Helping nonprofit organizations in the field of basic education to develop and diversify their funding and income base.

# South Africa



The end of apartheid and South Africa's landmark 1994 elections have ushered in attempts at all levels of society to build a racially integrated, democratic nation. These attempts can only be successful, however, if the poor black South Africans severely disadvantaged by apartheid acquire the literacy and numeracy skills they need to participate actively in the new democracy. Recognizing the centrality of this challenge, the RBF's South Africa program focuses on improving basic education for children and adults.

Under apartheid, nongovernmental organizations (NGOs) devised models for and delivered a variety of educational and social services, for children and adults, that were designed as challenges to the apartheid system. Multilateral and bilateral organizations and a number of private foundations funded much of this work. With the end of apartheid, the context for the delivery of education services has changed dramatically. New nonracial provincial and national departments of education have been established, and for the first time, NGOs with expertise in basic education are developing cooperative relationships with these government agencies.

South Africa's new political and educational environment also presents an opportunity for NGOs to collaborate with institutions of higher education. During the years of apartheid, educational NGOs that offered innovative in-service teacher training had little contact with teaching colleges that taught apartheid education principles. Now, however, many colleges are eager to work jointly with NGOs to bring about educational improvements.

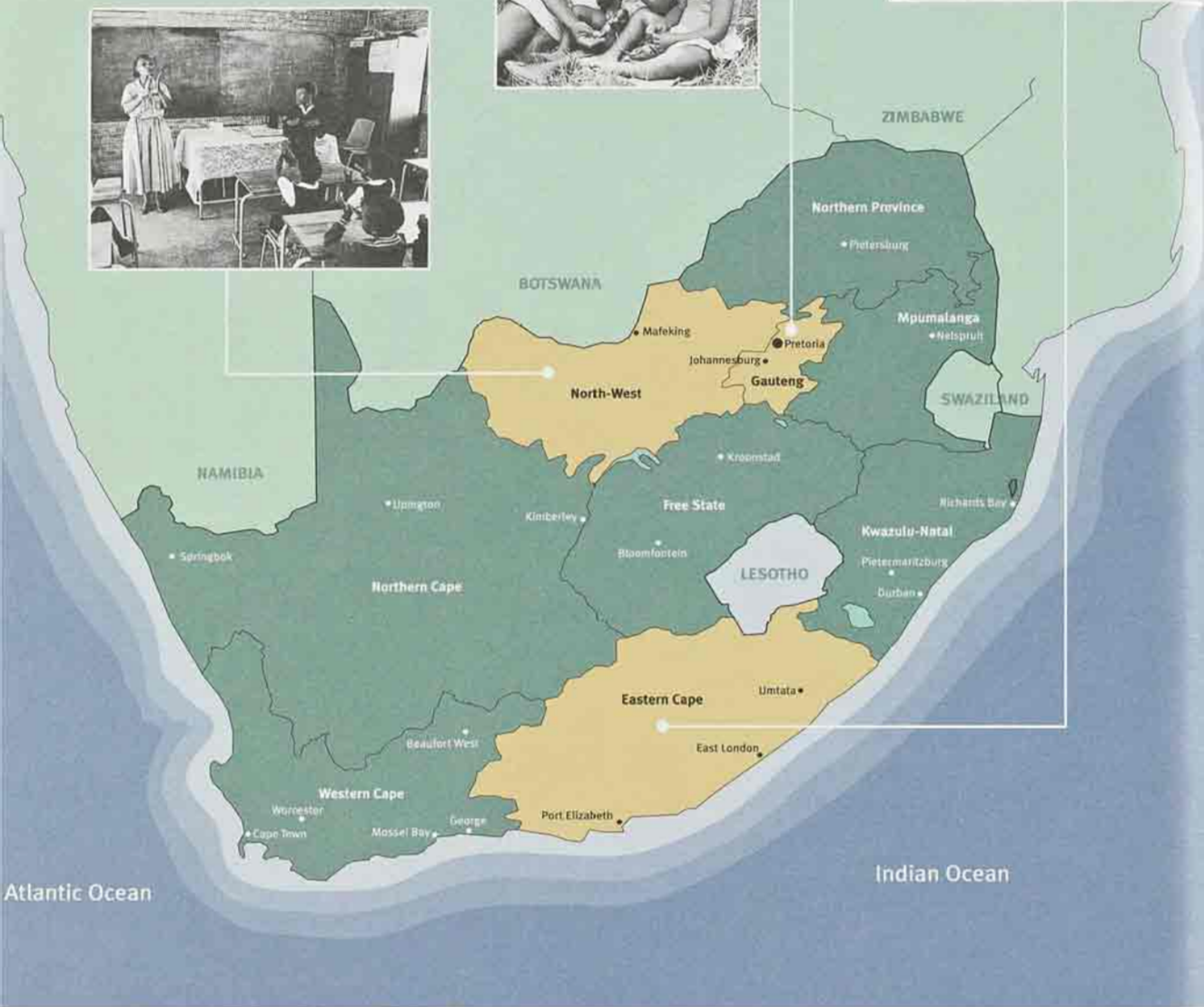
The emphasis of the Fund's South Africa program — previously described as a “Special Concern” but now a program in its own right — has shifted to accommodate these changes, as reflected in the new program guidelines presented opposite. In 1998, in addition to fostering NGO/government/university collaboration in the area of basic education, the Fund assisted educational NGOs with two kinds of initiatives warranted by South Africa's postapartheid context: evaluating model programs and building financial and organizational self-sufficiency.

## CROSS-SECTORAL COOPERATION

Over the next seven years, a new curriculum for grades one through ten is to be adopted by all schools in South Africa. Yet many of the provincial government officials responsible for overseeing this program and other education reforms have little relevant knowledge or experience. The Institute of Training and Education for Capacity Building, which works with schools in the Eastern Cape, is training officials of that province's Department of Education to support teachers who are implementing the new curriculum for the first grade. The aim is to acquaint the officials with child development issues and help them develop the management and facilitation skills they need in order to assist classroom teachers.

South Africa's current political climate offers the possibility of another kind of education reform: the alignment of preservice and in-service teacher training. The North-West's Kgatelope Project, led by the





## NEW OPPORTUNITIES FOR COLLABORATION AND REPLICATION

In the North-West (left), the Kgatelopele Project brings together education NGOs, the province's Education Department, and teaching colleges to align preservice and in-service training for primary school teachers. In the Eastern Cape (right), the Institute of Training and Education for Capacity Building is helping officials of the provincial Department of Education understand child development and learn how to support teachers in the classroom. In Gauteng (middle), the Department of Education is assessing several non-center-based models of early childhood education—where care is provided by parents or neighbors, for example—which can serve as important alternatives to formal early education programs. The results of this evaluation will influence education policy throughout Gauteng and elsewhere in South Africa.



**CROSS-REFERENCE:**  
The Fund's Education program has sought to improve early childhood

education in the United States, with a particular emphasis on developing strong leadership within the early childhood field and a unified voice for high-quality services for young children. Educational improvement is also a focus of the New York City program, which seeks to promote civic responsibility for public school reform.

Centre for Productive Education, is designed to improve the quality of that province's primary school teaching, and will include programs at teaching colleges. The project, a partnership between the provincial Department of Education and a team of educational NGOs, provides students at such colleges with information and perspectives on teaching methodology and materials, on-the-job training, and opportunities for professional development.

### **PROJECT EVALUATION**

Under apartheid, the NGOs responsible for delivering early education services to black children operated, by necessity, at the margins of society and on a small scale, with little time or energy to spare for assessing or replicating their work. Now, however, new opportunities and pressures to expand the impact of their programs and offer more high-quality services have made evaluation a high priority. The Department of Education in Gauteng, for example, is assessing new models of education delivery that might serve as alternatives to formal, center-based early education programs—models in which care is furnished by parents, other relatives, or neighbors in informal custodial arrangements. The results of an evaluation of these models will be used to inform the design of education policies in Gauteng, and possibly in other provinces and the nation as a whole. The Education Department is also examining the process by which local stakeholders—NGOs, communities, and families—participate in the formulation of early childhood education policies. This work is being funded by a grant to the Gauteng Education Development Trust, which generates and receives private contributions for improving public schools in the province.

Although recently enacted national legislation provides free, compulsory education for all South Africa's children from age seven to fifteen, high school graduation rates for black youth are disturbingly low: of a hundred children entering first grade, only one will finish high school. Students are particularly likely to drop out or fail in first grade, usually because they are unprepared for formal schooling or because the first year of school fails in some other way to meet their needs. One NGO working to ease the entry of out-of-school children into the formal education system is the Primary Open Learning Pathways Trust. Among other activities, it produces recommendations on how to establish age-appropriate classes for illiterate children in mainstream primary schools and develops training curricula for teachers to use in working with older children. Jointly with the Western Cape's Department of Education, the trust is evaluating a self-paced learning program that has been used on a pilot basis in seven primary schools in the province. If the program is shown to be cost-effective, the Education Department will consider instituting similar classes for children in schools throughout the Western Cape.

### **FINANCIAL SELF-SUFFICIENCY**

As multilateral and bilateral funding is directed away from South African NGOs and toward government agencies, education-related NGOs are engaging in local fund-raising and devising other strategies to achieve greater financial self-sufficiency. One such NGO is the South African Institute of Distance Education Trust's Ulwazi Educational Radio Project. Launched in 1994 with the belief that radio could be an effective way to promote and deliver adult basic education to South Africans living in remote rural areas, the project has trained a core group of professional producers and now offers its listeners a wide range of dramas, features, documentaries, social action programs, and phone-in talk shows in twelve South African languages. Ulwazi's planned income-generating activities include producing educational content for broadcast and commercial sale, leasing its studio facilities when they are not in use, and training producers at community radio stations. Like the other South African projects supported by the RBF in 1998, this endeavor addresses both the bitter educational legacy of apartheid and the changing circumstances of a new nation.



## SOUTH AFRICA • 1998 GRANTS

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### BASIC EDUCATION

#### ADULT BASIC EDUCATION

##### DEVELOPMENT SERVICES TRUST

Cape Town, South Africa \$33,000

Toward a joint project with the Early Learning Resource Unit of the Cape Education Trust to develop materials to improve the literacy skills of childcare providers.

#### AMERICAN ACADEMY OF ARTS AND SCIENCES

Cambridge, Massachusetts \$25,000

Toward the planning of a special *Daedalus* issue on South Africa, to be published in 2000.

#### PRIMARY OPEN LEARNING PATHWAYS TRUST

Cape Town, South Africa up to \$100,000 over 2 years

For a joint project with the Western Cape Education Department to pilot children's literacy classes in seven primary schools in the Western Cape region.

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### CAPACITY BUILDING

#### THE CENTRE FOR PRODUCTIVE EDUCATION

Pretoria, South Africa \$82,000 over 2 years

To enable teacher-training colleges in the North-West province to participate in a province-wide teacher development project.

#### GAUTENG EDUCATION DEVELOPMENT TRUST

Johannesburg, South Africa \$94,000 over 2 years

To document and evaluate a pilot program designed to develop and test new models of early childhood development training and services.

#### HENRY KAISER FAMILY FOUNDATION

Washington, D.C. \$15,000

As a contribution toward a conference entitled "Celebrating the African Renaissance," co-hosted by the South Africa Grantmakers' Affinity Group.

#### INSTITUTE FOR DEMOCRACY IN SOUTH AFRICA

Cape Town, South Africa \$25,000

For a newspaper supplement summarizing the report of the South African Truth and Reconciliation Commission, which examined apartheid-era atrocities.

#### INSTITUTE OF TRAINING AND EDUCATION FOR CAPACITY BUILDING

East London, South Africa \$150,000 over 3 years

Toward education and training for Eastern Cape Department of Education officials responsible for early childhood development.

#### SOUTH AFRICAN INSTITUTE OF DISTANCE EDUCATION TRUST

Johannesburg, South Africa \$100,000 over 2 years

To enable its Ulwazi Educational Radio Project, which uses radio to promote adult basic education and training, to increase financial self-sufficiency.

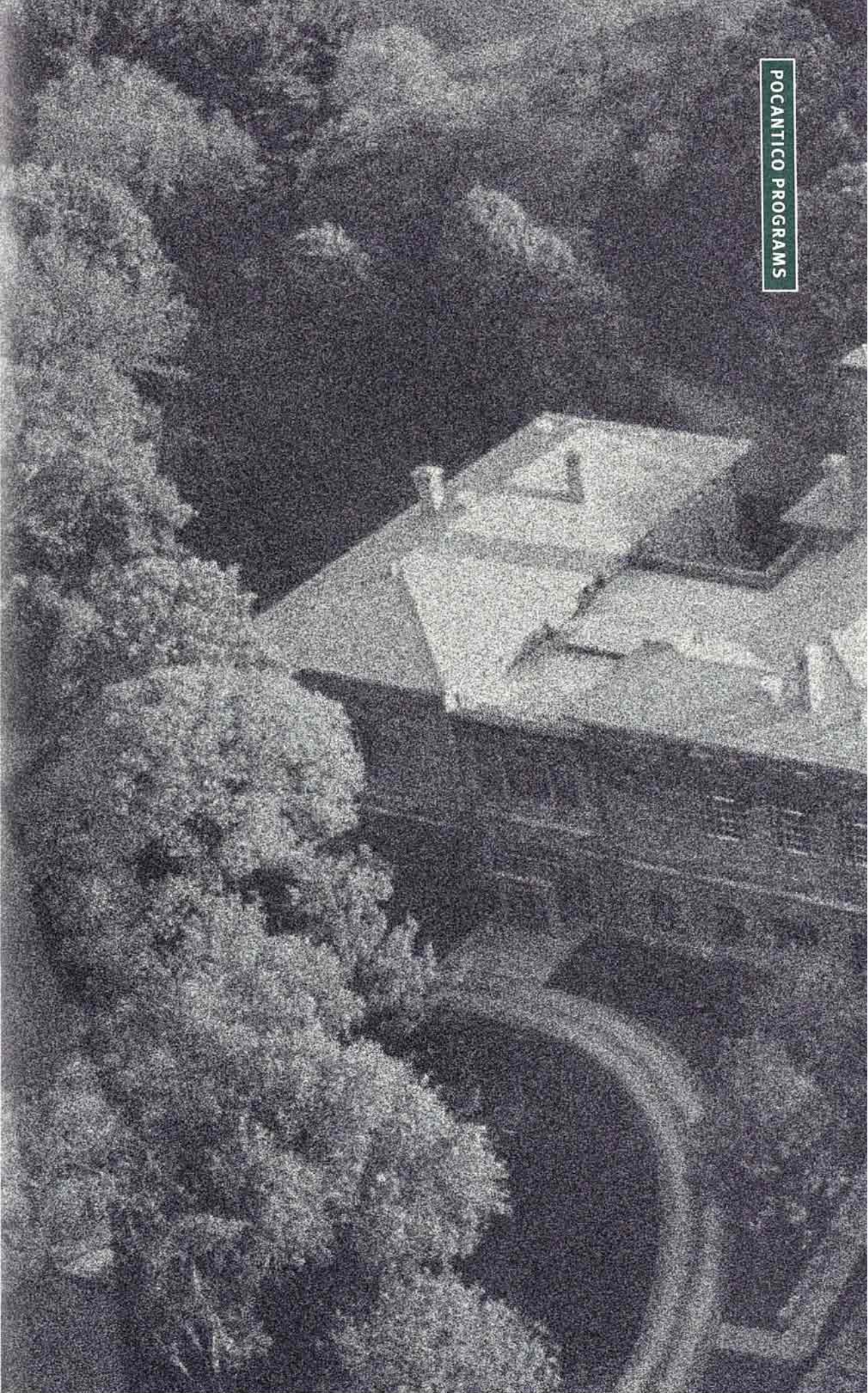
#### UNIVERSITY OF CAPE TOWN FUND, INC.

New York, New York \$12,000

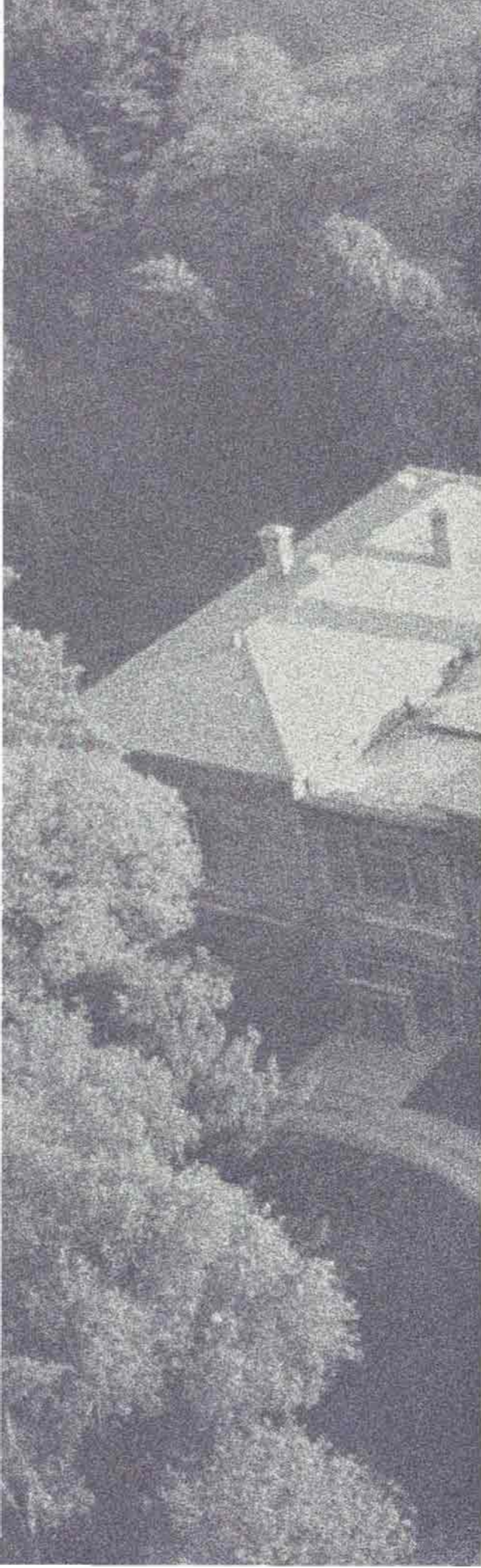
Toward an evaluation of USHEP/A, an inter-university program designed to develop the institutional capacity of sub-Saharan African universities, in which the University of Cape Town plays a major role.



POCANTICO PROGRAMS







## MISSION STATEMENT

### GOALS

To extend the reach of the RBF's grantmaking programs through conferences and meetings that address central concerns of the Fund;

To provide public access to the Pocantico Historic Area, the heart of the Rockefeller family estate in Westchester County, New York, through a program of public visitation;

To act as steward of the Pocantico Historic Area by carrying out maintenance, restoration, and conservation projects on behalf of the National Trust for Historic Preservation, from which the Fund leased the Pocantico Historic Area in 1991.

### POCANTICO CONFERENCE CENTER

The mission of the Pocantico Conference Center of the Rockefeller Brothers Fund is to provide a setting where nonprofit organizations and public sector institutions can bring together people of diverse backgrounds and perspectives to engage critical issues related to the Rockefeller Brothers Fund philanthropic program, leading to new levels of understanding and creative resolution of problems.

**PROGRAMS FOR CONFERENCES** are designed by RBF staff, grantees, and/or outside groups whose objectives are consistent with those of the Fund.

Programs are selected based on five criteria:

- the direct and strong relationship of the conference to the RBF's program objectives;
- the diversity of perspectives, range of opinions, and breadth of experience that will be represented;
- the involvement of skilled, experienced conference leaders, organizers, or facilitators;
- the clarity of conference objectives, of the agenda that will accomplish those objectives, and, as appropriate, of the steps to be taken following the conference;
- the demonstrated added value of having the Pocantico Conference Center as the site of the meeting.

# Pocantico Programs



Located twenty miles north of Manhattan in the Pocantico Historic Area — the heart of the Rockefeller Family estate in New York’s Westchester County — the Pocantico Conference Center of the Rockefeller Brothers Fund is situated on eighty-six acres of woodlands overlooking the Hudson River. The Historic Area, leased by the Fund in 1991 from the National Trust for Historic Preservation, includes the estate’s original Coach Barn (which has been converted into a fully equipped meeting facility) and

Kykuit, the home of John D. Rockefeller, as well as the surrounding formal gardens and sculpture collections. The setting is quiet, gracious, and relatively secluded — ideal for small working groups and highly conducive to reflection and focused discussion.

## POCANTICO CONFERENCES

Over the last five years, the Pocantico Conference Center of the Rockefeller Brothers Fund has accommodated 179 meetings attended by 4,871 participants. Meetings held at the Conference Center fall into two categories: Pocantico Conferences, which are usually designed and sponsored by the Fund or its grantees, and meetings that are hosted at Pocantico for other nonprofit organizations whose missions are compatible with the Fund’s. The content and format of meetings varies widely, but several common threads run through them. Each meeting has had a direct relationship to a specific program interest of the Fund; and each has complemented the Fund’s grantmaking activities — for example, by bringing diverse groups and sectors together to engage critical questions or by providing opportunities for strategic planning and organizational development on the part of groups involved with issues of concern to the Fund.

While the meetings held at the Conference Center in 1998 covered a range of subjects, gatherings related to the RBF’s interests in world security and sustainable resource use accounted for nearly half of the Pocantico Conferences. In this final year of the Fund’s review of its own World Security program, the meetings held at Pocantico reflected the complex landscape of security in the post–Cold War period. Topics ranged from the broad security agenda, the focus of a meeting convened by the Institute for East-West Studies to consider the global dangers that will confront policymakers in the next century, to specific and urgent matters such as the prevention of torture, the subject of an innovative “mapping” exercise directed by the Minneapolis-based Center for Victims of Torture.

Other meetings illustrated the diversity of issues that have emerged as global concerns in the wake of the Cold War. The International Peace Academy and the Center for International Security and Arms Control hosted a meeting on “The Implementation of Peace Agreements in Civil Wars,” while the Carnegie Council on Ethics and International Affairs gathered discussants to address “International Economic and Social Justice.” A broadened view of security is clearly emerging, as reflected in the Fund’s new Global Security program guidelines (see page 44). But a meeting held by the Programme for Promoting Nuclear Non-Proliferation to discuss current developments on the disarmament scene and the consequences of nuclear tests in India and Pakistan served as a reminder that many traditional security issues remain unresolved.



Like these security-related meetings, Pocantico Conferences related to the Fund's interest in sustainable resource use ranged from broad discussions to meetings aimed at addressing specific threats. Among the meetings that addressed broad concerns was a Fund-sponsored conference to explore how a global environmental organization could improve national and transnational responses to worldwide environmental dangers. Other meetings explored specific issues of longstanding interest to the Fund,



such as conservation and biodiversity. These included a meeting on how to encourage sustainable forestry management on non-industrial private lands in the United States, and a meeting on fisheries management, convened to discuss strategies for implementing strong fishery conservation provisions at the regional and national levels.

Early childhood education, which has been a focus of the Fund's Education program, was the subject of a meeting of the New York State Child Care Coordinating Council in which participants sought to evaluate the work of the Council's New York State Early Childhood Career Development Initiative, funded by the RBF since its launch in 1993.

Two meetings in 1998 addressed topics related to the Fund's New York City program. In keeping with the program's interest in forging a sense of common purpose within communities, the Fund hosted a conference with the Bronx Cluster of Settlement Houses that gave settlement house directors, staff, and board members an opportunity to meet with foundation representatives and experts on community building to discuss the challenges of revitalizing communities and improving the quality of life for Bronx residents. The New York City program also sponsored a meeting to launch "Healthy Cities/Healthy Kids: A Campaign to Strengthen New York Cities' Urban Environmental Voice in Albany," which reflected the program's interest in developing open space and green space initiatives in New York City.

#### **OTHER POCANTICO PROGRAMS**

In leasing the Pocantico Historic Area from the National Trust for Historic Preservation, the RBF assumed responsibility for maintaining the property and collections and for ensuring public access to the property. To provide opportunities for public visitation, the Fund has contracted with Historic Hudson Valley, a not-for-profit entity that owns and interprets five sites in the Hudson River Valley. Tours are conducted between May 1 and the end of October. In 1998, approximately 48,900 visitors toured Kykuit and its galleries and gardens as well as the carriage and automobile collections.

The RBF, in addition to maintaining the historic structures in its care, also oversees the conservation of works in the collections and, through its curator, conducts research on the history of the buildings, landscapes, and art located in the historic area. In 1998, some of the fruits of this research were displayed in the Coach Barn in an exhibit entitled "The Evolution of the Beaux Arts Garden," which included photos and drawings from earlier and current incarnations of various gardens on the estate.

1998 also saw the completion of a major capital project, the re-roofing of the grotto adjacent to Kykuit. This work was undertaken to prevent damage to the structure's many sandstone carvings.

## 1998 Pocantico Conferences

### ENCOURAGING SUSTAINABLE FORESTRY ON NON-INDUSTRIAL PRIVATE FORESTS IN THE UNITED STATES

January 19–21

Non-industrial private lands constitute nearly 60 percent of the United States' forested land base. Attendees at this RBF-hosted conference developed ideas for reconciling the American Forest & Paper Association's Sustainable Forestry Initiative with the certification efforts of the Forest Stewardship Council, an independent standard-setting organization, and identified private lands that could be easily certified. They also formed working groups to advance the private lands discussion in specific regions and planned group meetings with leading foresters, loggers, and land owners to encourage further collaboration.

### NATIONAL CENTER FOR NONPROFIT BOARDS STRATEGIC PLANNING RETREAT

January 23–25

Sponsored by the RBF, this strategic planning retreat gathered the board and senior staff of the National Center for Nonprofit Boards (NCNB), an organization devoted to building stronger nonprofit boards and nonprofit organizations. The objectives were to review NCNB's analysis of its external and internal environments and management's preliminary strategic recommendations, and to engage in a collaborative discourse on key strategic issues and topics.

### REGIONAL FISHERIES ACTIVISTS MEETING: MARINE CONSERVATION MEETING II

January 26–28

The RBF and the Pew Charitable Trusts co-hosted a follow-up meeting to a 1997 Pocantico conference on conservation and fishery management, which resulted in an RBF-supported effort to implement strong fishery conservation provisions at the national and regional level. The 1998 meeting enabled funders and fishery conservation advocates to evaluate the effectiveness of measures taken to date and to prepare for coming challenges, including the need for more robust scientific capabilities, increased media expertise, and innovative approaches to strengthening the growing network of fishery conservation activists.

### CLIMATE CHANGE OUTREACH, POST-KYOTO

February 2–3

This RBF-sponsored conference gave participants an opportunity to review climate change-related issues and public education strategies following the successful December 1997 Climate Change Summit in Kyoto. Participants discussed developing-country participation in emissions reduction, U.S. options for regulating greenhouse gas emissions, the relationship between forestry practices and climate change, and the economic impact of various mitigation strategies. Representatives from twelve foundations and NGOs including the Union of Concerned Scientists, the Environmental Defense Fund, and the World Wildlife Fund participated.

### SAVE THE CHILDREN: ANNUAL INTERNATIONAL PROGRAMS DIRECTORS' CONFERENCE

February 8–12

Field and headquarters staff of Save the Children's International Programs Department gathered to develop a program framework for a five-year period beginning

in October 1998. Save the Children promotes locally appropriate programs in education, health care, environmentally sound agriculture, and economic productivity. The new program framework was presented to the trustees of Save the Children at their May 1998 meeting.

### YMCA EARTH SERVICE CORPS NATIONAL CONSULTATION

February 12–14

The YMCA Earth Service Corps (YESC), a teen environmental service and leadership program of the YMCA, convened a meeting of national leaders in youth development, environmental leadership, and community service in order to provide a national perspective to the program. The discussion revolved around how to encourage broad-based sustainable development by supporting young environmental leaders. The meeting served to develop an initial strategy that will support the growth of YESC and the larger youth environmental service movement.

### IMPLEMENTATION OF PEACE AGREEMENTS IN CIVIL WARS: VIEWS OF PRACTITIONERS

February 27–March 1

Organized by the International Peace Academy (IPA) and the Center for International Security and Arms Control (CISAC), this conference brought together implementers of peace accords and scholars who study the process of civil war termination. It was the second major meeting in a two-year collaborative research project between IPA and CISAC on peace implementation. The project aims to assess why some negotiated settlements to civil wars are implemented successfully and why others fail, and to put forward concrete suggestions for improving the implementation of future peace agreements in war-torn societies.

### INSTITUTE FOR EASTWEST STUDIES

March 6–8

A diverse group of American and European thinkers came together to discuss "New Security Threats and the Institute for EastWest Studies in the 21st Century." Participants identified and examined the global dangers that will challenge policymakers and business leaders in the next century. The goal was to inform the work of the institute and other security organizations as they devise new approaches to strengthening security in Eurasia in the next century.

### UNITED NATIONS HUMAN RIGHTS IN NEGOTIATING PROCESSES

March 19–21

The UN organized a meeting of mediators, human rights specialists, and other experts to discuss the role of human rights—including amnesties and the need to address the past—within negotiating processes. The objective was the drafting of policy guidelines for current and future representatives of the Secretary-General in peace negotiations. The meeting's origins are rooted in the inevitable tensions between the UN's twin goals of ending fighting and addressing punishable human rights violations. Confidential guidelines drawn up as a result of these discussions were submitted to the Secretary-General for approval.



**UN ENVIRONMENT PROGRAMME:  
EYES ON THE ENVIRONMENT**

March 24-26

Thirteen of the twenty-five Women Leaders in Action who were honored by the UN Environment Programme in 1997 for their achievements in service to the environment gathered to reflect on how they can join together to motivate others, especially the young, to become stewards of the earth. Workshops, which touched on the most urgent, compelling, and controversial issues related to the environment, facilitated the sharing of experiences, struggles, optimism, and ideas, which will provide material for a book and documentary.



**COLLABORATIVE FOR THE ADVANCEMENT  
OF SOCIAL AND EMOTIONAL LEARNING**

March 28-30

The Collaborative for the Advancement of Social and Emotional Learning (CASEL) is one of the leading organizations committed to identifying best practices and improving delivery of school-based, social-competence education and services to enhance the social, emotional, and physical health of young people. Leadership Team members and Working Group chairs attending a retreat reached a consensus on the basic structure and organization of CASEL, identified immediate and long-term funding and staffing needs, and reviewed CASEL's strategic plan.

**BRONX CLUSTER OF SETTLEMENT HOUSES**

April 6-7

The Fund hosted a conference for the Bronx Cluster of Settlement Houses, a coordinating organization participating in the RBF-funded Bronx Settlement House Community Action and Revitalization Program, a community-building program. Representatives met with foundation officials and other experts for a conversation on the challenges of preserving and building communities and improving the quality of life for Bronx residents. Participants evaluated the Community Building Project, reviewed the project's accomplishments to date, and established a three-year strategic plan.

**NATIONAL ALLIANCE FOR NONPROFIT MANAGEMENT:  
NETWORK PLANNING RETREAT**

April 20-22

The Fund hosted a conference for the National Alliance for Nonprofit Management, recently created from the merger of the Support Centers of America and the Nonprofit Management Association. The meeting served as a planning retreat for this new organization, which has the potential to provide an important focus for

nonprofit capacity-building organizations and professions, and may facilitate additional collaborations and perhaps even additional mergers between organizations.

**NGO GOOD PRACTICES WORKSHOP**

June 30-May 1

Grantmakers, financial intermediaries, legal experts, and others with a strong interest in the international development of civil society convened to examine the World Bank's *Handbook on Good Practices for Laws Relating to NGOs*. Meeting participants recommended improvements for future versions of the paper and formulated a strategy to strengthen the enabling environment for civil society and to encourage its growth.

**INTERNATIONAL PEACE ACADEMY SEMINAR  
ON PEACEMAKING AND PEACEKEEPING**

May 11-15

Key policymakers and practitioners, particularly from the broad UN community in New York, met for a third International Peace Academy Seminar to advance international understanding of critical issues relating to peacemaking, peacekeeping and preventive action, and the development of effective strategies for the management and resolution of conflicts between and within states.

**SUSTAINABLE DEVELOPMENT & CAPITAL MARKETS**

May 18-20

The Rockefeller Foundation, the Wallace Global Fund, the Surdna Foundation, the Heinz Endowments, the MacArthur Foundation, and the C.S. Mott Foundation sponsored a conference to explore the possible role of private capital flows to developing countries in promoting sustainable development and other goals in which the foundation community has invested. The meeting was designed to educate foundation program officers about sustainable development in the private sector, explain how decision makers take environmental and social considerations into account, identify the opportunities to make private sector decision making more sensitive to environmental and social considerations, and develop foundation funding strategies to realize those goals.

**ENVIRONMENTAL ADVOCATES:  
HEALTHY CITIES/HEALTHY KIDS**

June 9-10

Environmental Advocates, one of the first state environmental councils, has been working since 1969 to protect New York's air, land, water, and wildlife. This RBF-hosted meeting to launch "Healthy Cities/Healthy Kids: A Campaign to Strengthen New York City's Urban Environmental Voice in Albany" brought together representatives from diverse urban groups to begin the process of defining urban environmental concerns and building the capacity of local groups to work together to address them.

**WOMEN'S ENVIRONMENT & DEVELOPMENT  
ORGANIZATION**

June 20-22

At a conference titled "A Special Global Reflection: Charting Strategic Directions for the 21st Century," the Women's Environment and Development Organization board of directors, working colleagues, and consultants gathered to reflect on the death of co-founder and past president Bella Abzug, and to reassess their mission as a movement-oriented network and focus on organizational priorities for their work up to and including the year 2000.



**NEXT GENERATION LEADERSHIP:  
MOVING INTO THE FUTURE**

July 30–August 2

During this first year of the Next Generation Leadership (NGL), a two-year fellowship program launched by the Rockefeller Foundation, fellows convened at Pocantico to participate in the last of six rigorous sessions that focused on the principles of American democracy. At this session NGL fellows had an opportunity to present and critique their second-year projects, which focused on putting into action the theories and lessons of democracy within their own communities.

**INTERNATIONAL SAVE THE CHILDREN ALLIANCE:  
FORUM '98**

September 13–16

The Save the Children Alliance, an international organization comprising twenty-five individual Save the Children organizations, held a strategy, development, and planning session for participants in its Program, Communication, and Global Marketing working groups. The purpose was to develop a coordinated framework for the Save the Children movement that integrates program priorities, such as Children in Armed Conflict and Displacement, Child Labor, and Basic Education, with a special emphasis on Girls' Education. Alliance representatives agreed that the organization will increase its cooperation during emergencies, beginning with the famine in Sudan and flooding in Bangladesh.

**NATIONAL CENTER FOR FAMILY PHILANTHROPY:  
BOARD RETREAT**

September 24–25

The National Center for Family Philanthropy was established in 1997 as a national nonprofit resource center committed to helping individuals and families identify and fulfill their family philanthropic missions. A retreat for board and staff focused on the National Center's mission, values, and future objectives. Board members' conversations about the National Center's core beliefs and relevant audiences addressed issues of foundation accountability and balance in grantmaking and the future goals of the National Center.

**THE COMPARATIVE HUMAN RELATIONS  
INITIATIVE MEETING**

October 5–7

The Southern Education Foundation's Comparative Human Relations Initiative, which documents contemporary patterns of race relations in Brazil, South Africa, and the U.S., in partnership with the Cape Town–based Institute for Democracy in South Africa, hosted a meeting to discuss publications planned for the 1999



UN-sponsored World Conference on Racism. Members of the initiative's International Working and Advisory Group and other experts considered strategies to honor international human rights standards, consolidate democratic governance, and promote awareness of racism and discrimination against persons of African descent and the effect on development goals.

**CREATING A TACTICAL MAP AGAINST TORTURE**

October 12–14

Under the direction of the Center for Victims of Torture in Minneapolis, experts on torture engaged in an exercise to "map" the relationships embedded in government-sponsored torture and tactics for its prevention. The meeting was facilitated by a systems mapping expert and a tactical expert, on behalf of the Office of Democratic Institutions and Human Rights of the Organization for Security and Cooperation in Europe (OSCE). This experimental approach constitutes a potential tool for evaluating prevention tactics pursued by governments, international agencies, and NGOs. It also offers the possibility of identifying gaps in efforts to end torture in particular countries and to encourage the development of a comprehensive, multifaceted strategy for the OSCE. The results of the workshop were presented to the OSCE Advisory Panel on the Prevention of Torture in Warsaw and a conference on human rights solutions in Turkey in November 1998.

**SAGUARO SEMINAR VI:  
ENGAGEMENT IN AMERICA**

October 15–17

The Saguaro Seminar is a multiyear dialogue among a diverse group of leading academics and practitioners regarding practical strategies for re-engaging Americans civically. The sixth meeting, sponsored by the RBF, focused on policies that strengthen bonds of trust and reciprocity in American workplaces and enable greater employee community engagement. Specific topics included strategies for building associationalism among the growing ranks of often disconnected, independent workers, ways to extend work–family programs into the community, and the need for better metrics to measure the community connectedness that businesses are fostering.





**NEW YORK STATE EARLY CHILDHOOD  
CAREER DEVELOPMENT INITIATIVE**

October 19-21

The Fund hosted a retreat for the steering committee of the New York State Child Care Coordinating Council, a statewide, not-for-profit organization that provides staff training to Head Start. Participants focused on evaluating the work of the council's New York State Early Childhood Career Development Initiative, funded by the RBF since its inception in 1993, and on developing an action plan for the next three years.

**MEETING AND WORKSHOP ON NUCLEAR  
NON-PROLIFERATION AND DISARMAMENT**

October 29-November 1

The International Core Group of the Programme for Promoting Nuclear Non-Proliferation, along with academic analysts and ambassadors, convened to discuss current developments on disarmament and non-proliferation issues, and the consequences of recent nuclear tests in India and Pakistan. The Core Group meeting expanded into a workshop on "Prospects for the 1999 PrepCom Session for the 2000 Non-Proliferation Treaty (NPT) Review Conference," attended by the Core Group members, senior diplomats, and officials from countries likely to play a major role in the PrepCom session. Key ambassadors of the United Nations attended this meeting, which highlighted difficulties that confront the 1999 PrepCom and the issues that must be resolved for it to fulfill its mandate of making substantive recommendations to the review conference of the NPT in 2000.

**THE ANDREW W. MELLON FOUNDATION:  
LIBERAL ARTS COLLEGES CONFERENCE**

November 5-6

Twenty-seven liberal arts college presidents and deans gathered with members of the Mellon Foundation staff to discuss research findings of interest to liberal arts colleges and to consider issues relevant to the areas of faculty development, residential life, and institutional governance.

**EXPERT MEETING ON INTERNATIONAL  
ECONOMIC AND SOCIAL JUSTICE**

November 12-14

The United Nations Department of Economic and Social Affairs, Division for Social Policy and Development, along with the Carnegie Council on Ethics and International Affairs, held a meeting on "International Economic and Social Justice," in preparation for the Special Session of the UN General Assembly to be held in Geneva in June 2000. Representatives of several Permanent Missions to the UN, whose officials will be involved in deliberations at the Special Session, and economists, political scientists, and philosophers from academia and specialist institutions met with UN and Carnegie Council staff to discuss papers on international trade and distributive justice, international finance and social justice, global labor standards, the international dimensions of national tax policy, and international distributional inequity.

**GLOBAL ENVIRONMENTAL GOVERNANCE DIALOGUE**

November 19-20

In an RBF-sponsored conference, twenty-two representatives of sixteen countries and a variety of disciplines, including government, business, and academia, convened to explore how a global environmental organization could improve the response to worldwide environmental problems, provide the institutional support and coordination needed to implement international environmental agreements, and enhance national environmental policymaking. As an outcome of the meeting, an invitation to begin a Global Environmental Governance Dialogue was issued, with the goal of encouraging an open, worldwide discussion on strategies for strengthening the international environmental regime.

**NATIONAL STRATEGY FOR NONPROFIT TECHNOLOGY:  
REALIZING THE VISION**

December 3-6

The third annual Rockefeller Technology Project Computer Camp focused on the National Strategy for Nonprofit Technology, a year-long effort by the country's leading technology assistance providers and donors to plan the rapid expansion of the technological capacity of the nonprofit sector. The 1998 Computer Camp featured presentations about the development of the National Strategy to date and engaged participants in discussions about how to make technology assistance even more responsive to the burgeoning technology needs of the nonprofit sector.

**NEW YORK CITY PARTNERSHIP  
BROWNFIELDS SUMMIT**

December 8-10

A diverse consortium of foundations convened for the culminating session of the nonprofit New York City Partnership-led Pocantico Roundtable for Consensus on Brownfields. The Roundtable brought together banking and business leaders, regulatory and municipality officials, community group representatives, and environmental organizations from across the state to reach a consensus on reforms needed to encourage voluntary cleanup and redevelopment of New York City's brownfields. Participating foundations included the RBF, the Joyce Mertz-Gilmore Foundation, the New York Community Trust, the Robert Sterling Clark Foundation, and the Chase Manhattan Foundation.

**FUNDERS GROUP ON YOUTH ORGANIZING**

December 11-12

Foundation representatives and youth organizer leaders from around the country convened to engage in structured conversation about youth leadership development and organization within the context of a youth development continuum, community development, and community-building efforts. The meeting helped to identify needs of the youth organizing field, showcase best practices, allow funders to learn from the experiences of youth organizers, and stimulate the development of a funding strategy to strengthen the field.











# Ramon Magsaysay Award Foundation



The trustees of the Fund encouraged the establishment of the Ramon Magsaysay Awards in the late 1950s to honor individuals and organizations in Asia whose civic contributions and leadership “exemplify the greatness of spirit, integrity, and devotion to freedom of Ramon Magsaysay,” former President of the Philippines who died in an airplane crash. Often regarded as the Nobel Prizes of Asia, these awards are presented in five categories: government service, public service, community

leadership, international understanding, and journalism, literature and creative communication arts. Up to five awards of \$50,000 each are given annually by the board of trustees of the Ramon Magsaysay Award Foundation, which is headquartered in Manila and receives significant support from the RBF.

In 1998, the Ramon Magsaysay Award Foundation selected the following awardees:

- **GOVERNMENT SERVICE**

**Dr. Syed Adibul Hasan Rizvi**, Pakistan, *surgeon, government doctor*

For “transcending the limits of a public service hospital to make kidney dialysis, renal transplants, and other life-saving medical services available free to thousands of Pakistani citizens.”

- **PUBLIC SERVICE**

**Mr. Sophon Suphapong**, Thailand, *business leader, environmental activist, engineer*

For “stimulating his country’s rural economy by helping hundreds of rural cooperatives and community organizations own and operate their own businesses as affiliates of one of Thailand’s major oil companies.”

- **COMMUNITY LEADERSHIP**

**Ms. Phaly Nuon**, Cambodia, *special secretary at the Ministry of Finance, herself a former refugee*

For “her selfless commitment to helping war-traumatized women and children rebuild their spirits and lives in the wake of Cambodia’s great national tragedy.”

- **JOURNALISM, LITERATURE, AND CREATIVE COMMUNICATION ARTS**

**Mr. Ying Roucheng**, China, *former Vice Minister of Culture, Chair and President of China Arts Festival Foundation, actor*

For “enhancing China’s cultural dialogue with the world-at-large and with its own rich heritage through a brilliant and persevering life in the theater.”

- **INTERNATIONAL UNDERSTANDING**

**Mrs. Corazon Cojuangco Aquino**, Philippines, *former President of the Philippines, diplomat*

For “giving radiant moral force to the nonviolent movement for democracy in the Philippines and in the world.”



## PROGRAM FOR ASIAN PROJECTS

In 1987 the Fund created a Program for Asian Projects to support initiatives in Asia that embody the spirit of the Ramon Magsaysay Awards and reflect the concerns of the RBF. The program is designed to help Magsaysay Awardees extend their work and to help the Magsaysay Award Foundation draw attention to its ideals. It is administered by an Asian board of advisors, which selects awardees in conjunction with the Ramon Magsaysay Award Foundation. Grant approvals, based on recommendations by the Asian board of advisors, rest with the Fund's board of trustees and are listed at the end of this section.

The Ramon Magsaysay Award Foundation, working with awardees from particular Asian countries, have frequently organized seminars on "Asian Issues and Trends for Development" around specific themes, such as health, corruption, or river basin management. A distinguished guest speaker from government, academia, or the NGO sector is usually invited to share his or her thoughts with awardees. These seminars allow awardees with interests in the topic at hand to gather and exchange ideas.

This year, Filipino awardees gathered in Manila, Philippines, for a discussion on the "Rule of Law" in the Philippines. This year's guest speaker, Jose Mendoza, a leading Filipino public interest lawyer, argued forcefully that paralegal training for politically marginalized communities is critical to the development of greater support for the rule of law at the grassroots level in the Philippines and across East Asia. In fact, paralegal training is emerging as a focus of the Fund's Sustainable Resource Use program in this region.

## RAMON MAGSAYSAY AWARD FOUNDATION • 1998 Grants

**RAMON MAGSAYSAY AWARD FOUNDATION**  
Manila, Philippines total \$170,000  
\$150,000 toward the stipends for the 1998 Ramon Magsaysay Awards, which recognize individuals or organizations in government, public service, community leadership, international understanding, and journalism, literature, and communications working in Asia on behalf of Asians.  
\$15,000 as a contribution to its "Asian Issues and Trends for Development" seminar.  
\$5,000 as a contribution for continuing publication of *The Magsaysay Awardee*.

**PROGRAM FOR ASIAN PROJECTS**  
**ZAFRULLAH CHOWDHURY & TAHRUNESSA ABDULLAH**  
Dhaka, Bangladesh \$20,000  
As a contribution for the project, "Dietary Use of Soybean in Combating Malnutrition Among the Vulnerable Groups of Population in the Rural Areas of Bangladesh."

**BANOO COYAJI**  
Pune, India \$10,000  
As a contribution to the Women's Health Development Training & Service Program.

**JOHN V. DALY & PAUL JEONG GU JEI**  
Seoul, South Korea \$20,000  
For their project, "Evaluating Development of Community-based Organizations in Korea."

**MAHASWETA DEVI**  
Calcutta, India \$10,000  
As a contribution to building community centers in two tribal villages in India.

**MASANOBU FUKUOKA**  
Ehime-ken, Japan \$10,000  
As a contribution toward the publication of a textbook, *Natural Farming—How to Make Clayballs*.

**INTERNATIONAL INSTITUTE OF RURAL RECONSTRUCTION**  
Silang, Cavite, Philippines \$10,000  
As a contribution to its Low External Input Rice Production Project in Bicol, Philippines.

**ASTHMA JAHANIR**  
Lahore, Pakistan \$10,000  
As a contribution to the project, "Gender Participation in Mainstream Politics."

**SR. EVA FIDELA MAAMO & FR. JAMES B. REUTER, JR.**  
Manila, Philippines \$13,089  
As a contribution toward a video documentary on the poor of Manila.

**MAHESH CHANDER MEHTA**  
New Delhi, India \$10,000  
As a contribution to the book, *Environmental Law and Jurisprudence*.

**K.V. SUBBANNA**  
Karnataka, India \$10,000  
For the production of educational videocassettes on Kannada drama and theater.

**DR. FEI XIAOTONG**  
Beijing, China \$10,000  
For the project, "Changes of Land Systems in Northern China."

**ROCKEFELLER BROTHERS FUND**  
**Grants Paid in 1998**





# Summary of Grants Paid

## ONE WORLD: SUSTAINABLE RESOURCE USE

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 1998	UNPAID BALANCE
<b>GLOBAL</b>					
ALASKA CONSERVATION FOUNDATION Anchorage, Alaska	Alaska Rainforest Campaign	50,000		50,000	
ALASKA MARINE CONSERVATION COUNCIL Anchorage, Alaska	Fisheries management project in the North Pacific	100,000		50,000	50,000
AMERICAN LANDS ALLIANCE Washington, DC	Transnational network of costal temperate rainforest conservation advocates	100,000		100,000	
AMERICAN LITTORAL SOCIETY Miami, Florida	Fisheries management project in the Caribbean	20,000		20,000	
AMERICAN OCEANS CAMPAIGN Washington, DC	Marine Fish Conservation Network	120,000		60,000	60,000
CENTER FOR INTERNATIONAL ENVIRONMENTAL LAW Washington, DC	The Consumer's Choice Council	150,000		75,000	75,000
	Strategies to engage the World Trade Organization on trade and environment issues	20,000		20,000	
CENTER FOR MARINE CONSERVATION Washington, DC	Two separate projects on fisheries management in the Gulf of Mexico and Pacific regions	80,000		80,000	
CERTIFIED FOREST PRODUCTS COUNCIL Beaverton, Oregon	To promote demand for sustainably managed forest products	450,000		220,000	230,000
	To promote consumption of sustainably managed forest products	150,000	141,000	9,000	
CONSENSUS BUILDING INSTITUTE Cambridge, Massachusetts	NGO participation in a brainstorming session	10,000		10,000	
CONSERVATION LAW FOUNDATION Cambridge, Massachusetts	Fisheries management project in New England	100,000		50,000	50,000
CONSULTATIVE GROUP ON BIOLOGICAL DIVERSITY San Francisco, California	General support for a report on salmon aquaculture	46,000	26,000	20,000	
DAVID SUZUKI FOUNDATION Vancouver, Canada	Rainforest conservation initiative on British Columbia's north coast	380,000		280,000	100,000
EARTH COUNCIL FOUNDATION San Jose, California	Earth Charter	129,500		129,500	
EARTHLIFE CANADA FOUNDATION Vancouver, Canada	Public education campaign on coastal conservation in British Columbia	120,000	45,000	75,000	
FOUNDATION FOR INTERNATIONAL ENVIRONMENTAL LAW & DEVELOPMENT London, England	Research on possible uses of World Trade Organization rules to eliminate environmentally harmful subsidies to the fossil fuel and fishing industries	50,000		50,000	
HAWAII AUDUBON SOCIETY Honolulu, Hawaii	Fisheries management project in the Western Pacific	50,000		50,000	
INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOPMENT Washington, DC	International Workshop on Community-Based Natural Resources Management	10,000		10,000	



GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 1998	UNPAID BALANCE
MARINE CONSERVATION BIOLOGY INSTITUTE Redmond, Washington	Developing the field of marine conservation biology	50,000		50,000	
NATIONAL ENVIRONMENTAL TRUST Washington, DC	U.S. constituency for mitigating climate change	400,000		200,000	200,000
NATIONAL WILDLIFE FEDERATION Washington, DC	Global Forest Policy Project	90,000			90,000
NATURAL RESOURCES DEFENSE COUNCIL, INC. Washington, DC	Forests for Tomorrow initiative	75,000			75,000
	Forests for Tomorrow initiative	150,000			150,000
	SeaWeb Salmon Aquaculture Clearinghouse project	30,000		30,000	
PACE UNIVERSITY White Plains, New York	Clean Air Task Force	100,000		100,000	
SIERRA LEGAL DEFENCE FUND SOCIETY Vancouver, Canada	Efforts to protect the temperate rainforests of British Columbia's mid coast	50,000			50,000
SILVA FOREST FOUNDATION Slocan Park, Canada	To encourage sustainable forestry practices in British Columbia	75,000		75,000	
SIMON FRASER UNIVERSITY Burnaby, Canada	Conference on natural resource management	15,000		15,000	
SOLAR CENTURY LIMITED Oxford, England	Solar Century's Buyers Club	30,000		30,000	
SOLAR ELECTRIC LIGHT FUND Washington, DC	Developing model solar electrification projects in Vietnam	150,000	100,000	50,000	
SURFACE TRANSPORTATION POLICY PROJECT Washington, DC	Efforts to increase public understanding and engagement on regional transportation issues	100,000		100,000	
TIDES CENTER San Francisco, California	Environmental Media Services	150,000	75,000	75,000	
	Biodiversity Action Network	80,000	40,000	40,000	
	Environmental Media Services	150,000			150,000
VALHALLA WILDERNESS SOCIETY New Denver, British Columbia	Coastal conservation project in British Columbia	50,000		50,000	
WINROCK INTERNATIONAL INSTITUTE FOR AGRICULTURAL DEVELOPMENT, INC. Morrilton, Arizona	To encourage the diffusion and adoption of renewable energy options in Nepal	30,000		30,000	
<b>UNITED STATES</b>					
CENTER FOR MARINE CONSERVATION Washington, DC	Two projects relating to fisheries management in the South-Atlantic and Mid-Atlantic	110,000		110,000	
COLUMBIA UNIVERSITY New York, New York	A conference on "Corporate Strategy & Sustainable Development: Using Markets, Norms and Law to Enhance Environmental Performance"	25,000		25,000	
CONSERVATION LAW FOUNDATION Cambridge, Massachusetts	Community-level engagement in transportation and community development planning in New England	75,000		75,000	
FOREST TRUST Santa Fe, New Mexico	Forest Stewards' Guild	50,000		25,000	25,000
INSTITUTE FOR AGRICULTURE AND TRADE POLICY Minneapolis, Minnesota	To monitor national standard setting efforts relevant to forestry	50,000			50,000
	Education of private landowners in the Great Lakes region about sustainable forestry certification	150,000			150,000
INTERSTATE RENEWABLE ENERGY COUNCIL Latham, New York	Project to address technical and regulatory obstacles to the adoption of renewable energy services in the U.S.	15,000		15,000	
IZAAK WALTON LEAGUE OF AMERICA, INC. Gaithersburg, Maryland	Evaluation of sustainable forest management practices on industrial lands in the U.S.	30,000			30,000

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 1998	UNPAID BALANCE
LAND AND WATER FUND OF THE ROCKIES Boulder, Colorado	Utility-based strategies for energy efficiency and renewable energy use	75,000		37,500	37,500
NEW ENGLAND ENVIRONMENTAL POLICY CENTER North Ferrisburgh, Vermont	Forest Stewardship Council	150,000		150,000	
NEW YORK COMMUNITY TRUST New York, New York	Opportunities for the New York/ New Jersey Waterfront project	200,000		50,000	150,000
	H <sub>2</sub> O Fund	75,000		75,000	
OZONE ACTION Washington, DC	U.S. constituency for mitigating climate change	100,000			100,000
PACIFIC MARINE CONSERVATION COUNCIL Astoria, Oregon	Fisheries management in the Pacific	100,000		50,000	50,000
PENNSYLVANIA STATE UNIVERSITY University Park, Pennsylvania	Efforts to educate private landowners in Pennsylvania about sustainable forestry certification	50,000			50,000
TRI-STATE TRANSPORTATION CAMPAIGN, INC. New York, New York	Region-wide transportation policy reform efforts in New York, New Jersey, and Connecticut	100,000		50,000	50,000
U.S. PUBLIC INTEREST RESEARCH GROUP Washington, DC	To build a U.S. constituency for mitigating climate change	100,000			100,000
U.S. WORKING GROUP INC. Burlington, Vermont	Forest Stewardship Council U.S.	200,000			200,000
WILDERNESS SOCIETY Washington, DC	Public education campaign on sustainable forestry	150,000	80,000	70,000	
<b>CENTRAL AND EASTERN EUROPE</b>					
AIR AND WASTE MANAGEMENT ASSOCIATION Pittsburgh, Pennsylvania	Central European Linkage Program: Green Neighborhood Projects	40,000		20,000	20,000
AMERICAN TRUST FOR AGRICULTURE IN POLAND McLean, Virginia	Foundation for the Development of Polish Agriculture	200,000	170,000	30,000	
	Flexible transition fund for the Foundation for the Development of Polish Agriculture	100,000		50,000	50,000
CEE BANKWATCH NETWORK Krakow, Poland	General support	180,000		60,000	120,000
CENTER FOR CLEAN AIR POLICY Washington, DC	Project on alternative transit in Pflzen, Czech Republic	80,000	55,000	25,000	
CENTRE FOR ENVIRONMENTAL STUDIES FOUNDATION Budapest, Hungary	General support	90,000		30,000	60,000
CLEAN AIR ACTION GROUP Budapest, Hungary	Two sustainable transportation projects in Hungary	50,000		25,000	25,000
CZECH ECO-COUNSELING NETWORK (STEP) Brno, Czech Republic	General support	75,000		25,000	50,000
EASTWEST INSTITUTE New York, New York	Learning Network	100,000		50,000	50,000
ECOLOGISTS LINKED FOR ORGANIZING GRASSROOTS INITIATIVE & ACTION Hartford, Pennsylvania	Virtual Foundation project	116,000		76,000	40,000
ENVIRONMENTAL MANAGEMENT AND LAW ASSOCIATION Budapest, Hungary	General support	150,000		75,000	75,000
ENVIRONMENTAL PARTNERSHIP FOR CENTRAL EUROPE-SLOVAKIA Bratislava, Slovakia	Amber Trail Greenway	75,000	25,000	25,000	25,000



GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 1998	UNPAID BALANCE
ENVIRONMENTAL PARTNERSHIP FOR CENTRAL EUROPE – CZECH OFFICE Prague, Czech Republic	Partnership for Public Spaces and the Czech Greenway Program	90,000		42,500	47,500
EUROPEAN NATURAL HERITAGE FUND Rheinbach/Bonn, Germany	Public transportation project in Wroclaw and its rural development project in the Narew Region of Poland	80,000		40,000	40,000
FOUNDATION FOR A CIVIL SOCIETY, LTD. Prague, Czech Republic	Czech Center for Community Revitalization	120,000	60,000	60,000	
FOUNDATION FOR ORGANIC AGRICULTURE Prague, Czech Republic	Prague Ecology Center	40,000	20,000	20,000	
FOUNDATION FOR THE SUPPORT OF ECOLOGICAL INITIATIVES Krakow, Poland	National campaign in Poland for sustainable transportation	25,000		12,500	12,500
FRIENDS OF THE EARTH, INTERNATIONAL Amsterdam, The Netherlands	Project to improve the accountability of international financial institutions	105,000		60,000	45,000
GERMAN MARSHALL FUND OF THE U.S. Washington, DC	Environmental Partnership for Central Europe	600,000	100,000	250,000	250,000
INSTITUTE FOR ENVIRONMENTAL POLICY Prague, Czech Republic	General support	170,000	120,000	50,000	
INSTITUTE FOR SUSTAINABLE DEVELOPMENT Warsaw, Poland	General support	225,000		125,000	100,000
INSTITUTE FOR TRANSPORTATION AND DEVELOPMENT POLICY New York, New York	Sustainable transport initiative in Central and Eastern Europe	70,000		60,000	10,000
ISAR, INC. Washington, DC	Citizens' monitoring program in the Russian Far East	50,000		50,000	
INTERNATIONAL INSTITUTE FOR ENERGY CONSERVATION – EUROPE London, England	Central European sustainable transport initiative	200,000	150,000	50,000	
POLISH ECOLOGICAL CLUB Krakow, Poland	Establishment of a Polish transportation advocacy office in Warsaw	25,000		12,500	12,500
QUEBEC-LABRADOR FOUNDATION, INC. Ipswich, Massachusetts	Atlantic Center for the Environment: Central European Stewardship Program	120,000		40,000	80,000
VIA FOUNDATION Prague, Czech Republic	Community Revitalization Program	100,000		50,000	50,000
WORLD RESOURCES INSTITUTE Washington, DC	Forestry management project in Slovakia	50,000	25,000	25,000	
<b>EAST ASIA</b>					
AIDWATCH Woolahra, Australia	Mekong Outreach Campaign	24,000	12,000	12,000	
BANK INFORMATION CENTER Washington, DC	To promote civil society engagement	110,000		80,000	30,000
COUNCIL ON RENEWABLE ENERGY IN THE MEKONG REGION Phitsanulok, Philippines	General support	40,000		40,000	
DUTA AWAM FOUNDATION Solo, Indonesia	Work in communities in Indonesia affected by oil palm development	25,000		25,000	
EARTH ISLAND INSTITUTE San Francisco, California	Asia programs of its Mangrove Action Project	103,000		53,000	50,000
	Industrial Shrimp Aquaculture Network (ISA-Net)	150,000		150,000	
EARTH SUMMIT WATCH Washington, DC	Shrimp Sentinel project	75,000		75,000	
EAST-WEST CENTER FOUNDATION Honolulu, Hawaii	Training programs and workshops in political ecology research	90,000	30,000	30,000	30,000
ENERGY PROBE RESEARCH FOUNDATION Toronto, Canada	Probe International work in the Mekong region	40,000		40,000	

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 1998	UNPAID BALANCE
ENVIRONMENTAL LEGAL ASSISTANCE CENTER Puerto Princess City, Philippines	Paralegal Education and Training program	150,000		75,000	75,000
FOCUS ON THE GLOBAL SOUTH Bangkok, Thailand	Micro-Macro Issues Linking Program	86,000	46,000	40,000	
FOUNDATION FOR THE STUDY OF LAW AND SOCIETY Ambon, Indonesia	Paralegal outreach and training	20,000			20,000
FRIENDS OF THE EARTH—JAPAN Tokyo, Japan	General support	120,000		60,000	60,000
HONG KONG BAPTIST UNIVERSITY Hong Kong, China	Project on the development of large-scale, market-oriented composting technologies	80,000		40,000	40,000
HONG KONG UNIVERSITY OF SCIENCE AND TECHNOLOGY Hong Kong, China	Support of Reefcheck	50,000		50,000	
HUALOPU FOUNDATION Ambon, Indonesia	Community-based coastal resource management	70,000			70,000
HUMAN RIGHTS WATCH New York, New York	Shrimp aquaculture in Southeast Asia	40,000	20,000		20,000 *
INSTITUTE FOR SUSTAINABLE COMMUNITIES Montpelier, Vermont	Madeleine M. Kunin Special Opportunities Fund	100,000		87,500	12,500
INTERNATIONAL ASSOCIATION FOR THE STUDY OF COMMON PROPERTY Bloomington, Indiana	General support	100,000	35,000	35,000	30,000
INTERNATIONAL INSTITUTE FOR ENERGY CONSERVATION, INC. Washington, DC	Renewable energy and Asian Development Bank reform	50,000		50,000	
INTERNATIONAL INSTITUTE OF RURAL RECONSTRUCTION New York, New York	"Water Equity in Landscape and Livelihood Study"	80,000		40,000	40,000
INTERNATIONAL MARINELIFE ALLIANCE—PHILIPPINES, INC. Manila, Philippines	Support of its programs in Indonesia	123,000		63,000	60,000
INTERNATIONAL RIVERS NETWORK Berkeley, California	Sustainable development in the Mekong basin	130,000	65,000	65,000	
	Hydropower projects in Laos	13,000		13,000	
JALA FOUNDATION Medan, Indonesia	Community organizing in impoverished coastal communities of Northern Sumatra	20,000			20,000
JAPAN CENTER FOR A SUSTAINABLE ENVIRONMENT AND SOCIETY Tokyo, Japan	Sustainable Development and Aid Program	110,000		55,000	55,000
PACIFIC ENVIRONMENT AND RESOURCES CENTER Sausalito, California	Salmon and fisheries habitat protection and restoration in the Russian Far East	300,000		300,000	
PESTICIDE ACTION NETWORK—NORTH AMERICA REGIONAL CENTER San Francisco, California	Sustainable agriculture	100,000	50,000	50,000	
PHILIPPINE COUNCIL FOR AQUATIC & MARINE RESEARCH & DEVELOPMENT Los Banos, Philippines	Convention of Integrated Coastal Management Practitioners in the Philippines	50,000		50,000	
SOUTH CHINA AGRICULTURAL UNIVERSITY Guangzhou, China	Sustainable agriculture extension programs in Guangdong Province	156,000		52,000	104,000
TAMBUYONG DEVELOPMENT CENTER Quezon City, Philippines	Sustainable Water Access and Management project	80,000	40,000	40,000	
TELAPAK FOUNDATION Bogor, Indonesia	Shrimp aquaculture	50,000			50,000
UNIVERSITY OF CALIFORNIA, SANTA BARBARA Santa Barbara, California	For the project, "Global Resistance Information Technologies and Civil Society: Responses to the Shrimp Farming Industry"	60,000	30,000	30,000	

\* Lapsed



GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 1998	UNPAID BALANCE
UNIVERSITY OF SYDNEY Sydney, Australia	Mekong Resource Center	65,000	25,000	20,000	20,000
VIETNAM WOMEN'S UNION Hanoi, Vietnam	Renewable energy technologies in Vietnam	20,000		20,000	
YUNNAN ACADEMY OF SOCIAL SCIENCES Kunming, China	Sustainable forest management project in southwestern China	26,000		26,000	
<b>SUBTOTAL</b>				6,216,000	4,126,500 **

## ONE WORLD: GLOBAL SECURITY

ASPEN INSTITUTE, INC. Washington, DC	U.S.-China symposium on "The Legal Protection of Human Rights"	25,000		25,000	
	Global Interdependence Initiative	500,000		100,000	400,000
CARNEGIE ENDOWMENT FOR INTERNATIONAL PEACE Washington, DC	For its program of research in world security	175,020	158,020	17,000	
	Project on "Managing Global Issues"	20,000		20,000	
	Project on "Managing Global Issues"	300,000		150,000	150,000
	"Regulation by Revelation: Transparency as a new Means of International Governance"	178,000		178,000	
FREEDOM HOUSE, INC. New York, New York	General support toward establishing an international "Community of Democracies"	25,000		25,000	
INSTITUTE FOR HUMAN SCIENCES Vienna, Austria	Strategic planning meeting for European Academy in Warsaw, Poland	12,500		12,500	
UNITED STATES INSTITUTE OF PEACE Washington, DC	Toward planning of permanent quarters for the Institute on the Capital Mall in Washington, DC.	25,000		25,000	
<b>SUBTOTAL</b>				802,500	550,000

## NONPROFIT SECTOR

### DEVELOPMENT OF RESOURCES

ACCESS: NETWORKING IN THE PUBLIC INTEREST, INC. Washington, DC	Strategic capacity initiative	50,000	25,000	25,000	
ASHOKA Washington, DC	Networking activities of its Fellows in Central Europe	50,000	25,000	25,000	
THE ASIA FOUNDATION San Francisco, California	Asia Pacific Philanthropy Consortium project	150,000		50,000	100,000
ASSOCIATION OF SMALL FOUNDATIONS Washington, DC	General support	75,000	25,000	25,000	25,000
CENTER FOR COMMUNITY CHANGE Washington, DC	Pablo Eisenberg Fund	10,000		10,000	
CIVIL SOCIETY DEVELOPMENT FOUNDATION - HUNGARY Budapest, Hungary	Maintain and expand support services for NGOs	100,000		50,000	50,000
CIVIL SOCIETY DEVELOPMENT FOUNDATION - POLAND Warsaw, Poland	Maintain and expand support services for NGOs	100,000		50,000	50,000
COUNCIL ON FOUNDATIONS New York, New York	Program for Leadership in International Philanthropy	50,000	25,000	25,000	
ENVIRONMENTAL PARTNERSHIP FOUNDATION, HUNGARY Budapest, Hungary	Sustainability of nonprofit organizations in Hungary	40,000	9,050	30,950	
FAMILY FOUNDATION OF NORTH AMERICA Milwaukee, Wisconsin	Governance committee of the foundation's Resource Development Initiative 2000	165,000	55,000	55,000	55,000
	Governance committee of the foundation's Resource Development Initiative 2000	24,000		8,000	16,000

\*\* Does not include lapses

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 1998	UNPAID BALANCE
FRIENDS OF HUNGARIAN HIGHER EDUCATION FOUNDATION Budapest, Hungary	Alumni Development Project	38,550		38,550	
THE FUND FOR INDEPENDENT PUBLISHING New York, New York	In-house fulfillment system and the expansion of direct sales efforts	191,000		79,000	112,000
HARVARD UNIVERSITY: JOHN F. KENNEDY SCHOOL OF GOVERNMENT Cambridge, Massachusetts	Saguaro Seminar	80,000		60,000	20,000
	Session on Policies and Practices in Philanthropy	300,000			300,000
HEALTHY CITY FOUNDATION Banska Bystrica, Slovakia	General support	105,000	67,950	33,144	3,906 *
HUNGARIAN FOUNDATION FOR SELF-RELIANCE Budapest, Hungary	General Support	200,000	100,000	100,000	
INDIANA UNIVERSITY FOUNDATION Indianapolis, Indiana	Third Sector Project for Central and Eastern Europe	25,000		25,000	
JOHNS HOPKINS UNIVERSITY - INSTITUTE FOR POLICY STUDIES Baltimore, Maryland	International Philanthropy Fellows program	60,000		30,000	30,000
NATIONAL CENTER ON PHILANTHROPY AND THE LAW New York, New York	RBF Fellowship in Nonprofit Law	190,000	63,000	63,000	64,000
NATIONAL COUNCIL OF NONPROFIT ASSOCIATIONS Washington, DC	Meeting of NCNA state and regional associations of nonprofits	15,000		15,000	
NONPROFIT ENTERPRISE AND SELF-SUSTAINING TEAM Baltimore, Maryland	Project on Central European nonprofits' self-financing strategies	100,000	40,000	60,000	
POLISH CHILDREN AND YOUTH FOUNDATION Warsaw, Poland	General support	150,000	100,000	50,000	
PROJECT 180 New York, New York	General support	100,000	50,000	50,000	
ROCKEFELLER FAMILY FUND New York, New York	Technology Project	65,000		32,500	32,500
SLOVAK ACADEMIC INFO. AGENCY - SERVICE CENTER FOR THE 3RD SECTOR Bratislava, Slovakia	"Civil Society: Hope of a United Europe"	5,000		5,000	
SYNERGOS INSTITUTE, INC. New York, New York	Funding mechanisms for local NGOs using international development aid funds	300,000	200,000	100,000	
VOLUNTARY ORGANIZATIONS INITIATIVE IN CENTRAL AND EASTERN EUROPE/EURASIA Washington, DC	Information on clearinghouse for nonprofit groups in the region	50,000	25,000	25,000	
VOLUNTEER CENTER ASSOCIATION Warsaw, Poland	Strengthening volunteer centers in Poland and to help establish centers in neighboring countries	90,000		45,000	45,000
WASHINGTON CENTER FOR INTERNSHIPS AND ACADEMIC SEMINARS Washington, DC	Contribution to the Center's strategic planning process	25,000		25,000	
<b>INCREASED UNDERSTANDING</b>					
THE AMERICAN ASSEMBLY New York, New York	"The Future of Philanthropy in a Changing America" project	25,000		25,000	
APPLIED RESEARCH & DEVELOPMENT INSTITUTE INTERNATIONAL, INC. Denver, Colorado	To interpret and present research findings on nonprofit management and leadership to managers and leaders of nonprofit organizations	37,000		37,000	
ASSOCIATION FOR RESEARCH ON NONPROFIT ORGANIZATIONS AND VOLUNTARY ACTION Indianapolis, Indiana	Project to improve understanding of the nonprofit sector	75,000			75,000

\* Lapsed



GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 1998	UNPAID BALANCE
CENTER FOR STRATEGIC AND INTERNATIONAL STUDIES Washington, DC	Planning phase of a project on foundations	50,000		50,000	
CIVICUS: WORLD ALLIANCE FOR CITIZEN PARTICIPATION Washington, DC	For preparation of a "legacy report" by the organization's founding director	25,000		25,000	
COUNCIL ON FOUNDATIONS New York, New York	Communications/legislative initiative	150,000	50,000	50,000	50,000
FOUNDATION FOR A CIVIL SOCIETY, LTD. New York, New York	General support	100,000		50,000	50,000
FOUNDATION FOR A CIVIL SOCIETY-SLOVAKIA Bratislava, Slovakia	Toward its work as the secretariat of The Citizen Campaign OK'98	25,000		25,000	
INTERNATIONAL CENTER FOR NOT-FOR-PROFIT LAW Washington, DC	Databank on the World Wide Web	50,000	25,000	25,000	
JAPANESE NGO CENTER FOR INTERNATIONAL COOPERATION Tokyo, Japan	General support	40,000		40,000	
NATIONAL CENTER FOR NONPROFIT BOARDS Washington, DC	Public education and media outreach	120,000	60,000	60,000	
NONPROFIT FOUNDATION Budapest, Hungary	Television program on the nonprofit sector	62,000	31,000	31,000	
THE UNION INSTITUTE Washington, DC	Changing Charities Project of its Center for Public Policy	250,000		125,000	125,000
THE URBAN INSTITUTE Washington, DC	Database for state associations of nonprofit organizations	30,000		20,000	10,000
<b>ACCOUNTABILITY</b>					
FOUNDATION CENTER New York, New York	Database redesign project	100,000		50,000	50,000
PHILANTHROPIC RESEARCH Williamsburg, Virginia	General support	300,000	100,000	100,000	100,000
SUPPORT CENTER FOR NONPROFIT MANAGEMENT San Francisco, California	990 in 2000 Project	50,000		25,000	25,000
THE ULANOV PARTNERSHIP Princeton, New Jersey	Commission on Nonprofit Governance	75,000		75,000	
VOLUNTEER CONSULTING GROUP, INC. New York, New York	National Board NET program	120,000		40,000	80,000
<b>PHILANTHROPIC SUPPORT ORGANIZATIONS</b>					
COUNCIL ON FOUNDATIONS Washington, DC	Membership grant for 1999	34,600		34,600	
FOUNDATION CENTER New York, New York	General support	60,000		30,000	30,000
INDEPENDENT SECTOR Washington, DC	Membership grant for 1999	10,250		10,250	
NEW YORK REGIONAL ASSOCIATION OF GRANTMAKERS New York, New York	Membership for 1999	7,700		7,700	
ROCKEFELLER FAMILY FUND New York, New York	Membership renewal in Environmental Grantmakers Association for 1998	1,000		1,000	
<b>SUBTOTAL</b>				<b>2,126,694</b>	<b>1,494,500**</b>

\*\* Does not include lapses

## EDUCATION

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 1978	UNPAID BALANCE
<b>RBF FELLOWS</b>					
GRANTS FOR FELLOWS AND MENTORS					110,400 *
<b>EARLY CHILDHOOD</b>					
CENTER FOR THE CHILD CARE WORKFORCE Washington, DC	Toward the planning of an annual Leadership Institute	20,000		20,000	
CONNECTICUT COMMISSION ON CHILDREN Hartford, Connecticut	Tri-State Early Childhood Quality Improvement Network	30,000		30,000	
TEACHERS COLLEGE, COLUMBIA UNIVERSITY New York, New York	Early Childhood Education Leadership Program	60,000		60,000	
WHEELLOCK COLLEGE Boston, Massachusetts	Center for Career Development in Early Care and Education	100,000		100,000	
<b>PROJECTS OF PARTICULAR MERIT</b>					
THE CENTER FOR ARTS EDUCATION New York, New York	To match a \$12 million challenge grant	300,000		150,000	150,000
<b>SUBTOTAL</b>				360,000	150,000 **

## NEW YORK CITY

<b>SCHOOLS &amp; YOUNG PEOPLE</b>					
CAMPAIGN FOR FISCAL EQUITY, INC. New York, New York	Public engagement survey project on New York City Public Schools	50,000		50,000	
CORO EASTERN CENTER, INC. New York, New York	Expansion of its youth leadership development programs with community-based partners	125,000		65,000	60,000
DIRECTIONS FOR OUR YOUTH, INC. Brooklyn, New York	Class Action program	70,000		35,000	35,000
GLOBAL KIDS, INC. New York, New York	Second phase of its Power of Citizenry program	50,000		50,000	
LATINO PASTORAL ACTION CENTER Bronx, New York	Youth Ministries for Peace and Justice project	60,000		30,000	30,000
	Nuestra Gente Program	110,000	55,000	55,000	
MORNINGSIDE AREA ALLIANCE, INC. New York, New York	Upper Manhattan Community Building Project	110,000	55,000	55,000	
NEW YORK UNIVERSITY: INSTITUTE FOR EDUCATION AND SOCIAL POLICY New York, New York	Institute for Education and Social Policy's Community Involvement Program	60,000		60,000	
PHILANTHROPIC COLLABORATIVE, INC. New York, New York	Youth Community Gardens and Urban Environment Collaboration	35,000		35,000	
PUBLIC AGENDA FOUNDATION, INC. New York, New York	New York City Standards Reform Public Engagement Project	50,000		50,000	
QUEENS LEGAL SERVICES CORPORATION Jamaica, New York	Title I program	50,000		50,000	
THE STUDENT CONSERVATION ASSOCIATION, INC. Charlestown, New Hampshire	Environment Career Service Network	70,000	35,000	35,000	
<b>COMMUNITY LIFE</b>					
CITIZENS COMMITTEE FOR NEW YORK CITY, INC. New York, New York	Neighborhood Citizenship Project	50,000	25,000	25,000	

\* Lapsed

\*\* Does not include lapses



GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 1998	UNPAID BALANCE
COOPER UNION FOR THE ADVANCEMENT OF SCIENCE AND ART New York, New York	Cooper Square Transformation Project	200,000		100,000	100,000
COMMITTEE FOR HISPANIC CHILDREN AND FAMILIES New York, New York	Parent Policy Development Program	50,000		50,000	
COMMON CENTS NEW YORK, INC. New York, New York	Community building and youth leadership development programs	25,000		25,000	
EAST SIDE HOUSE, INC. Bronx, New York	Bronx Settlement House Community Action and Revitalization Program	300,000	150,000	150,000	
FUND FOR THE CITY OF NEW YORK, INC. New York, New York	Cityscape Institute project along the Harlem Gateway Corridor	100,000		100,000	
HOUSING PARTNERSHIP DEVELOPMENT CORPORATION New York, New York	Redevelopment of brownfield sites	25,000		25,000	
NEW YORK COMMUNITY TRUST New York, New York	Neighborhood 2000 Fund	200,000	100,000	100,000	
THE NEW-YORK HISTORICAL SOCIETY New York, New York	For the exhibition "Paul Robeson: Bearer of a Culture"	15,000		15,000	
NEW YORK RESTORATION PROJECT New York, New York	Plan for Sherman Creek	100,000	50,000	50,000	
OPEN SPACE INSTITUTE, INC. New York, New York	Hudson River Park Alliance	40,000		40,000	
PARKS COUNCIL, INC. New York, New York	Open space and green space initiatives in Queens and Staten Island	150,000		79,899	70,101
SURDNA FOUNDATION New York, New York	Comprehensive Community Revitalization Program	70,000	35,000	35,000	
<b>CIVIC PARTICIPATION</b>					
CUNY GRADUATE CENTER FOUNDATION, INC. New York, New York	Campus development plan and relocation to a historic building at 365 Fifth Avenue	25,000		25,000	
PRATT INSTITUTE New York, New York	Community and business leader engagement in NYC environmental issues	125,000		75,000	50,000
<b>SUBTOTAL</b>				1,464,899	345,101

## SOUTH AFRICA

### BASIC EDUCATION

ADULT BASIC EDUCATION DEVELOPMENT SERVICES TRUST Cape Town, South Africa	Joint project with the Early Learning Resource Unit of the Cape Education Trust	33,000		33,000	
AMERICAN ACADEMY OF ARTS AND SCIENCES Cambridge, Massachusetts	Special <i>Daedalus</i> issue on South Africa, to be published in 2000	25,000		25,000	
CENTRE FOR EARLY CHILDHOOD DEVELOPMENT Clareinch, South Africa	Management-training programs for early childhood development leaders in South Africa	70,000	35,000	35,000	
CENTRE FOR PRODUCTIVE EDUCATION Pretoria, South Africa	Province-wide teacher development project	82,000		41,000	41,000
GAUTENG EDUCATION DEVELOPMENT TRUST Johannesburg, South Africa	Early childhood development pilot program	94,000		47,000	47,000
GRASSROOTS EDUCARE TRUST Silvertown, South Africa	Grassroots Alternative Special Program	80,000	40,000	40,000	
THE HENRY KAISER FAMILY FOUNDATION Washington, DC	"Celebrating the African Renaissance" conference	15,000		15,000	

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 1998	UNPAID BALANCE
INDEPENDENT EXAMINATIONS BOARD Highlands North, South Africa	Capacity-building program for NGO and government leaders in adult basic education and training	150,000	100,000	50,000	
INSTITUTE FOR DEMOCRACY IN SOUTH AFRICA Cape Town, South Africa	Special newspaper supplement reporting the findings of the South African Truth and Reconciliation Commission	25,000		25,000	
INSTITUTE OF TRAINING AND EDUCATION FOR CAPACITY BUILDING East London, England	To build the capacity of Eastern Cape Department of Education	150,000		50,000	100,000
PRIMARY OPEN LEARNING PATHWAY TRUST Rylands, South Africa	Joint project with the Western Cape Education Department	100,000		50,000	50,000
PROJECT LITERACY TRUST FUND Pretoria, South Africa	Training Department of Education officials responsible for adult basic education and training	31,000	18,000	13,000	
SOUTH AFRICAN INSTITUTE OF DISTANCE EDUCATION TRUST Johannesburg, South Africa	Ulwazi Educational Radio Project	100,000		42,000	58,000
UNIVERSITY OF CAPE TOWN Cape Town, South Africa	Social Uses of Literacy Project	47,000	22,000	25,000	
UNIVERSITY OF CAPE TOWN FUND, INC. New York, New York	Evaluation of USHEPiA, a university partnership program in sub-Saharan Africa	12,000		12,000	
UNIVERSITY OF FORT HARE King William's Town, South Africa	Distance Education Project for Teacher Development	100,000	50,000	50,000	
UNIVERSITY OF NATAL Durban, South Africa	New Readers Project	150,000	50,000	50,000	50,000
UNIVERSITY OF THE NORTH Sovenga, South Africa	Development Facilitation Training Institute	92,000	46,000	46,000	
UNIVERSITY OF ULSTER County Londonderry, South Africa	Project to improve the first grade curriculum in South Africa	95,000		28,000	31,000
<b>SUBTOTAL</b>				677,000	377,000

## RAMON MAGSAYSAY AWARDS

### RAMON MAGSAYSAY AWARD FOUNDATION

RAMON MAGSAYSAY AWARD FOUNDATION Manila, Philippines	Ramon Magsaysay Award stipends	150,000		150,000	
<b>PROGRAM FOR ASIAN PROJECTS</b>					
ARIYARATNE, AHANGAMAGE Tudor Moratuwa, Sri Lanka	Archive, Peace Library and Exhibition Gallery at the Vishva Niketan Peace Centre	10,000		10,000	
BHATT, CHANDRI PRASAD Uttar Pradesh, India	"Eco-development in the Degraded Barren Land of the Upper Alaknanda Watershed" project	10,000		10,000	
BHATT, ELA R. Ahmedabad, India	Publication of a monthly periodical for young girls	10,000		10,000	
CHANAWONGSE, DR. KRASAE Bangkok, Thailand	Publication of a handbook for members of the Aging Society of Muang Phon	9,000		9,000	
CHOWDHURY, ZAFRULLAH AND ABDULLAH, TAHRUNESSA Dhaka, Bangladesh	Use of soybeans to combat malnutrition in rural Bangladesh	20,000			20,000
COYAJI, BANOO Pune, India	Women's Health Development Training and Service Program	10,000			10,000
DALY, JOHN V. & PAUL JEONG GU JEI Seoul, South Korea	Researching low-income housing issues in Korea	20,000			20,000
DEVI, MAHASWETA Calcutta, India	To building community centers in two tribal villages in India	10,000			10,000



GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 1998	UNPAID BALANCE
FUKUOKA, MASANOBU Ehime-ken, Japan	Publication of a textbook, <i>Natural Farming—How To Make Clayballs</i>	10,000			10,000
HIRAMATSUE, MORIHKU Oita City, Japan	Project promoting collaboration between leaders of revitalization projects	10,000		10,000	
INTERNATIONAL INSTITUTE OF RURAL RECONSTRUCTION New York, New York	Low External Input Rice Production Project in Bicol, Philippines	10,000			10,000
IWAMURA, NOBORU Tochigi Prefecture, Japan	Training Project for Cambodian NGO Staffs	10,000		10,000	
JAHANGIR, ASTHMA Lahore, Pakistan	Gender Participation in Mainstream Politics	10,000			10,000
MAAMO, SR. EVA FIDELA Manila, Philippines	Video documentary on the poor of Manila	13,089			13,089
MEHTA, MAHESH CHANDER New Delhi, India	Toward the book, <i>Environmental Law and Jurisprudence</i>	10,000			10,000
RAMON MAGSAYSAY AWARD FOUNDATION Manila, Philippines	Publication of <i>The Magsaysay Awardee</i>	5,000		5,000	
	"Asian Issues and Trends for Development" seminar	15,000			15,000
	"Asian Issues and Trends for Development" project	15,000		15,000	
	Publication of <i>The Magsaysay Awardee</i>	5,000			5,000
SAMAR, SIMA Quetta, Pakistan	Developing educational opportunities for girls in Hazarajat, Afghanistan	11,000		11,000	
SUBBANNA, K.V. Karnataka, India	Production of educational video cassettes on Kannada drama and theater	10,000			10,000
SWAMINATHAN, MONCOMPU S. Madras, India	Project to encourage on-farm conservation practices among tribal families	10,000		10,000	
TOER, PRAMOEDYA ANANTA Jakarta, Indonesia	For the project "Chronicle of Indonesian Literature"	10,000			10,000 *
VALYASEVI, AREE Prathum-Thanee, Thailand	To develop a "Primary Medical Care Model"	10,000		10,000	
VERGHESE, B.G. New Dehli, India	Project to promote understanding of ethnicity and governance issues in Northeast India	10,000		10,000	
XIAOTONG, DR. FEI Beijing, China	For the project "Changes of Land Systems in Northern China"	10,000			10,000
<b>SUBTOTAL</b>				<b>270,000</b>	<b>153,089 **</b>
<b>ASIAN CULTURAL COUNCIL</b>					
ASIAN CULTURAL COUNCIL, INC. New York, New York	General support	250,000		250,000	
<b>SUBTOTAL</b>		<b>250,000</b>		<b>250,000</b>	
<b>TOTAL</b>				<b>11,917,093</b>	<b>7,196,190 **</b>

\* Lapsed

\*\* Does not include lapses

## RECONCILIATION OF GRANTS PAID DURING THE YEAR OR APPROVED FOR FUTURE PAYMENT

<b>UNPAID APPROPRIATIONS, JANUARY 1</b>	<b>1998</b>	<b>1997</b>
Principal Fund	\$5,665,550	\$5,419,750
Ramon Magsaysay Award Foundation	—	—
Asian Projects Fund	130,000	140,000
	<u>\$5,795,550</u>	<u>\$5,559,750</u>
<b>APPROPRIATIONS AUTHORIZED</b>		
Principal Fund	14,461,665	10,426,170
Ramon Magsaysay Award Foundation	150,000	150,000
Asian Projects Fund	153,089	130,000
	<u>14,764,754</u>	<u>10,706,170</u>
Less:		
Appropriations Lapsed:		
Principal Fund	20,856	63,700
Fellowship	110,400	—
Asian Projects	10,000	—
	<u>141,256</u>	<u>63,700</u>
	<u>\$14,623,498</u>	<u>\$10,642,470</u>
<b>APPROPRIATIONS PAID</b>		
Principal Fund	12,035,343	10,116,670
Ramon Magsaysay Award Foundation	150,000	150,000
Asian Projects Fund	120,000	140,000
	<u>\$12,305,343</u>	<u>\$10,406,670</u>
<b>UNPAID APPROPRIATIONS, DECEMBER 31</b>		
Principal Fund	7,960,616	5,665,550
Ramon Magsaysay Award Foundation	—	—
Asian Projects Fund	153,089	130,000
	<u>\$8,113,705</u>	<u>\$5,795,550</u>





# Financial Report

## REPORT OF INDEPENDENT ACCOUNTANTS

To the Board of Trustees of the Rockefeller Brothers Fund, Inc.

In our opinion, the accompanying combined statement of financial position and the related combined statements of activities and of cash flows present fairly, in all material respects, the financial position of the Rockefeller Brothers Fund, Inc. and Combined Affiliate (the "Fund") at December 31, 1998 and 1997, and the changes in their net assets and their cash flows for the years then ended in conformity with generally accepted accounting principles. These financial statements are the responsibility of the Fund's management; our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits of these statements in accordance with generally accepted auditing standards which require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements, assessing the accounting principles used and significant estimates made by management, and evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for the opinion expressed above.

Our audits were made for the purpose of forming an opinion on the basic financial statements taken as a whole. The schedule of functional expenses (Exhibit I) is presented for purposes of additional analysis and is not a required part of the basic financial statements. Such information has been subjected to the auditing procedures applied in the audits of the basic financial statements and, in our opinion, is fairly stated in all material respects in relation to the basic financial statements taken as a whole.

### **PricewaterhouseCoopers LLP**

New York, New York

April 30, 1999



**ROCKEFELLER BROTHERS FUND, INC. AND COMBINED AFFILIATE  
COMBINED STATEMENT OF FINANCIAL POSITION**

December 31, 1998 with Comparative 1997 Totals

**ROCKEFELLER BROTHERS FUND ("RBF")**

	Principal Fund	Pocantico Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	Pocantico Program Fund	Total RBF Funds	Asian Cultural Council, Inc.	Total 1998
<b>ASSETS</b>								
Cash	\$1,860,382	\$200,205	-	\$83,664	\$57,627	\$2,201,878	\$524,139	\$2,726,017
Accounts receivable	396,461	-	4,900	-	8,689	410,050	46,363	456,413
Contributions receivable	-	-	-	-	-	-	26,315	26,315
Interest and dividends receivable	1,605,605	240,205	15,750	14,568	9,837	1,885,965	252,888	2,138,853
Due from brokers and dealers	4,369,657	617,756	42,480	37,228	12,294	5,079,415	790,709	5,870,124
Investments, at market value	372,533,356	56,563,129	3,778,888	3,284,868	1,442,561	437,602,802	37,586,633	475,189,435
Program-related investments:								
Program mortgage loans	2,766,000	-	-	-	-	2,766,000	-	2,766,000
Real estate	510,000	-	-	-	-	510,000	-	510,000
Recoverable taxes paid	-	-	-	-	-	-	-	-
Prepaid expenses	1,379,761	-	-	-	-	1,379,761	2,928	1,382,689
Fixed assets, net	1,857,570	9,161,362	-	-	-	11,018,932	28,737	11,047,669
Interfund	2,437,012	(1,935,373)	(418,777)	(254,109)	171,247	-	-	-
<b>Total assets</b>	<b>\$389,715,804</b>	<b>\$64,847,284</b>	<b>\$3,423,241</b>	<b>\$3,166,219</b>	<b>\$1,702,255</b>	<b>\$462,854,803</b>	<b>\$39,258,712</b>	<b>\$502,113,515</b>

*The accompanying notes are an integral part of these financial statements.*

## COMBINED STATEMENT OF FINANCIAL POSITION

(continued)

	1997 RBF Funds	1997 Asian Cultural Council, Inc.	Total 1997
<b>ASSETS</b>			
Cash	\$1,563,373	\$275,328	\$1,838,701
Accounts receivable	414,727	35,095	449,822
Contributions receivable	-	227,380	227,380
Interest and dividends receivable	2,225,641	182,757	2,408,398
Due from brokers and dealers	21,623,922	-	21,623,922
Investments, at market value	414,842,670	36,048,738	450,891,408
Program-related investments:			
Program mortgage loans	2,852,000	-	2,852,000
Real estate	510,000	-	510,000
Recoverable taxes paid	133,600	-	133,600
Prepaid expenses	582,745	-	582,745
Fixed assets, net	9,910,280	31,482	9,941,762
Interfund	-	-	-
Total assets	\$454,658,958	\$36,800,780	\$491,459,738

The accompanying notes are an integral part of these financial statements.



**ROCKEFELLER BROTHERS FUND, INC. AND COMBINED AFFILIATE  
COMBINED STATEMENT OF FINANCIAL POSITION**

December 31, 1998 with Comparative 1997 Totals

ROCKEFELLER BROTHERS FUND ("RBF")

	Principal Fund	Pocantico Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	Pocantico Program Fund	Total RBF Funds	Asian Cultural Council, Inc.	Total 1998
<b>LIABILITIES AND NET ASSETS</b>								
<b>Liabilities:</b>								
Grants payable	\$7,960,616	\$ -	\$ -	\$153,089	\$ -	\$8,113,705	\$620,132	\$8,733,837
Due to brokers and dealers	4,601,396	686,504	44,863	41,520	3,660	5,377,943	-	5,377,943
Accounts payable and accrued liabilities	1,692,821	-	-	-	-	1,692,821	704,635	2,397,456
Taxes payable	645,666	-	-	-	-	645,666	-	645,666
<b>Total liabilities</b>	<b>14,900,499</b>	<b>686,504</b>	<b>44,863</b>	<b>194,609</b>	<b>3,660</b>	<b>15,830,135</b>	<b>1,324,767</b>	<b>17,154,902</b>
<b>Commitments</b>								
<b>Net assets:</b>								
Unrestricted	374,815,305	64,160,780	3,378,378	2,971,610	1,698,595	447,024,668	20,011,599	467,036,267
Temporarily Restricted	-	-	-	-	-	-	5,090,433	5,090,433
Permanently Restricted	-	-	-	-	-	-	12,831,913	12,831,913
<b>Total liabilities and net assets</b>	<b>\$389,715,804</b>	<b>\$64,847,284</b>	<b>\$3,423,241</b>	<b>\$3,166,219</b>	<b>\$1,702,255</b>	<b>\$462,854,803</b>	<b>\$39,258,712</b>	<b>\$502,113,515</b>

## COMBINED STATEMENT OF FINANCIAL POSITION

(continued)

	1997 RBF Funds	1997 Asian Cultural Council, Inc.	Total 1997
<b>LIABILITIES AND NET ASSETS</b>			
<b>Liabilities:</b>			
Grants payable	\$5,795,550	\$709,759	\$6,505,309
Due to brokers and dealers	2,383,304	-	2,383,304
Accounts payable and accrued liabilities	1,880,739	417,544	2,298,283
Taxes payable	645,666	-	645,666
<b>Total liabilities</b>	<b>10,705,259</b>	<b>1,127,303</b>	<b>11,832,562</b>
<b>Commitments</b>			
<b>Net assets:</b>			
Unrestricted	443,953,699	17,546,000	461,499,699
Temporarily Restricted	-	5,295,564	5,295,564
Permanently Restricted	-	12,831,913	12,831,913
<b>Total liabilities and net assets</b>	<b>\$454,658,958</b>	<b>\$36,800,780</b>	<b>\$491,459,738</b>



**ROCKEFELLER BROTHERS FUND, INC. AND COMBINED AFFILIATE  
COMBINED STATEMENT OF ACTIVITIES**

For the Year Ended December 31, 1998 with Comparative 1997 Totals

**ROCKEFELLER BROTHERS FUND ("RBF")**

	Principal Fund	Pocantico Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	Pocantico Program Fund	Total RBF Funds	Asian Cultural Council, Inc.	Total 1998
<b>REVENUES</b>								
Dividend income	\$3,382,319	\$480,884	\$30,301	\$27,940	\$13,773	\$3,935,217	\$480,960	\$4,416,177
Interest income	7,068,312	988,150	62,265	57,413	28,302	8,204,442	481,237	8,685,679
Other income	868,524	-	-	-	-	868,524	79,610	948,134
Contributions	-	5,000	-	-	-	5,000	1,121,948	1,126,948
	11,319,155	1,474,034	92,566	85,353	42,075	13,013,183	2,163,755	15,176,938
<b>EXPENSES</b>								
Functional expenses (Exhibit I):								
Direct charitable activities	1,250,650	2,494,156	-	-	58,338	3,803,144	-	3,803,144
Program and grant management	17,032,919	-	222,784	202,599	-	17,458,302	2,495,206	19,953,508
Investment management	2,022,324	303,598	15,935	14,693	7,243	2,363,793	253,393	2,617,186
General management	3,162,637	317,725	-	-	3,199	3,483,561	454,360	3,937,921
	23,468,530	3,115,479	238,719	217,292	68,780	27,108,800	3,202,959	30,311,759
Deficiency of revenues over expenses	(\$12,149,375)	(\$1,641,445)	(\$146,153)	(\$131,939)	(\$26,705)	(\$14,095,617)	(\$1,039,204)	(\$15,134,821)

The accompanying notes are an integral part of these financial statements.

## COMBINED STATEMENT OF ACTIVITIES

(continued)

	1997 RBF Funds	1997 Asian Cultural Council, Inc.	Total 1997
<b>REVENUES</b>			
Dividend income	\$4,866,614	\$410,981	\$5,277,595
Interest income	9,108,050	363,258	9,471,308
Other income	160,796	87,777	248,573
Contributions	240,226	11,186,048	11,426,274
	<u>14,375,686</u>	<u>12,048,064</u>	<u>26,423,750</u>
<b>EXPENSES</b>			
Functional expenses (Exhibit I):			
Direct charitable activities	3,954,355	-	3,954,355
Program and grant management	13,361,737	2,560,634	15,922,371
Investment management	2,093,765	184,417	2,278,182
General management	3,147,513	449,437	3,596,950
	<u>22,557,370</u>	<u>3,194,488</u>	<u>25,751,858</u>
Deficiency of revenues over expenses	(\$8,181,684)	\$8,853,576	\$671,892



**ROCKEFELLER BROTHERS FUND, INC. AND COMBINED AFFILIATE  
COMBINED STATEMENT OF ACTIVITIES**

For the Year Ended December 31, 1998 with Comparative 1997 Totals

**ROCKEFELLER BROTHERS FUND ("RBF")**

	Principal Fund	Pocantico Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	Pocantico Program Fund	Total RBF Funds	Asian Cultural Council, Inc.	Total 1998
<b>GAIN ON INVESTMENTS</b>								
Net realized gain from securities sales	\$26,769,579	\$3,805,981	\$239,821	\$221,133	\$109,010	\$31,145,524	\$601,295	\$31,746,819
Net change in unrealized gain on investments	(12,014,898)	(1,708,226)	(107,638)	(99,250)	(48,926)	(13,978,938)	2,698,377	(11,280,561)
	14,754,681	2,097,755	132,183	121,883	60,084	17,166,586	3,299,672	20,466,258
Change in net assets:								
Unrestricted	2,605,306	456,310	(13,970)	(10,056)	33,379	3,070,969	2,465,599	5,536,568
Temporarily restricted	-	-	-	-	-	-	(205,131)	(205,131)
Permanently restricted	-	-	-	-	-	-	-	-
Total change in net assets	2,605,306	456,310	(13,970)	(10,056)	33,379	3,070,969	2,260,468	5,331,437
<b>NET ASSETS</b>								
beginning of year	372,209,999	63,704,470	3,392,348	2,981,666	1,665,216	443,953,699	35,673,477	479,627,176
<b>NET ASSETS</b>								
end of year	\$374,815,305	\$64,160,780	\$3,378,378	\$2,971,610	\$1,698,595	\$447,024,668	\$37,933,945	\$484,958,613

## COMBINED STATEMENT OF ACTIVITIES

(continued)

	1997 RBF Funds	1997 Asian Cultural Council, Inc.	Total 1997
<b>GAIN ON INVESTMENTS</b>			
Net realized gain from securities sales	\$55,842,510	\$1,971,170	\$57,813,680
Net change in unrealized gain on investments	(850,887)	1,792,120	941,233
	<u>54,991,623</u>	<u>3,763,290</u>	<u>58,754,913</u>
Change in net assets:			
Unrestricted	46,809,939	12,301,268	59,111,207
Temporarily restricted	-	296,796	296,796
Permanently restricted	-	18,802	18,802
Total change in net assets	<u>46,809,939</u>	<u>12,616,866</u>	<u>59,426,805</u>
<b>NET ASSETS</b> beginning of year	397,143,760	23,056,611	420,200,371
<b>NET ASSETS</b> end of year	<u>\$443,953,699</u>	<u>\$35,673,477</u>	<u>\$479,627,176</u>



**ROCKEFELLER BROTHERS FUND, INC. & COMBINED AFFILIATE  
COMBINED STATEMENT OF CASH FLOWS**

For the Years Ended December 31, 1998 and 1997

	Total 1998 All Funds	Total 1997 All Funds
<b>CASH FLOWS FROM OPERATING ACTIVITIES</b>		
Change in net assets	\$5,331,437	\$59,426,805
Adjustments to reconcile change in net assets to net cash provided by operating activities:		
Net realized and unrealized (gain) or loss on investments	(20,466,258)	(58,754,913)
Depreciation	1,065,964	870,787
Contributions restricted for endowment	-	(18,802)
Interest and dividends restricted for endowment	(173,772)	(183,185)
(Increase) decrease in accounts receivable	(6,591)	(131,103)
(Increase) decrease in contributions receivable	201,065	111,764
(Increase) decrease in interest and dividends receivable	269,545	(259,672)
(Increase) decrease due from brokers and dealers	15,753,798	(19,006,112)
(Increase) decrease in recoverable taxes paid	133,600	(133,600)
(Increase) decrease in prepaid expenses	(799,944)	9,087
Increase (decrease) in grants payable	2,228,528	357,595
Increase (decrease) in due to brokers and dealers	2,994,639	(1,766,445)
Increase (decrease) in accounts payable and accrued liabilities	99,173	107,907
Net cash provided by (used in) operating activities	6,631,184	(19,369,887)
<b>CASH FLOWS FROM INVESTING ACTIVITIES</b>		
Proceeds from sales of investments	705,858,472	780,119,212
Purchases of investments	(709,690,241)	(761,142,282)
Reductions of program-related investments	86,000	448,000
Purchases of fixed assets	(2,171,871)	(250,202)
Net cash (used in) provided by investing activities	(5,917,640)	19,174,728
<b>CASH FLOWS FROM FINANCING ACTIVITIES</b>		
Proceeds from contributions restricted for investments in endowment	-	18,802
Interest and dividends restricted for endowment	173,772	183,185
Net cash provided by financing activities	173,772	201,987
Net increase in cash	887,316	6,828
Cash at beginning of year	1,838,701	1,831,873
Cash at end of year	\$2,726,017	\$1,838,701

# Notes to Financial Statements

## 1. ORGANIZATIONS AND PURPOSE

**Rockefeller Brothers Fund, Inc.** (the "Fund") is a not-for-profit, charitable corporation existing under the New York State not-for-profit corporation law and is classified as a private foundation as defined in the Internal Revenue Code. The Fund's principal purpose is to make grants to local, national, and overseas philanthropic organizations. The Fund also provides fellowships for minority students entering the teaching profession.

The Board of Trustees has designated the allocation from the Principal Fund and other funds to the following special purpose funds:

**Pocantico Fund:** For the preservation, maintenance and operation of the Pocantico Historic Area at Pocantico Hills, New York, as a conference center and an historic park benefiting the public.

**Ramon Magsaysay Award Foundation Fund:** To increase the amount of the Ramon Magsaysay Awards and other support for the activities of the Ramon Magsaysay Award Foundation, Inc.

**Asian Projects Fund:** Income to be used for a period of twenty years for special projects which exemplify the spirit of the Ramon Magsaysay Awards and Asian program concerns of the Fund.

**Pocantico Program Fund:** For use by the Fund for philanthropic programs at the Pocantico Conference Center.

Upon completion of the renovation of the Pocantico Historic Area, effective January 1, 1997, the Board of Trustees approved the transfer of the Pocantico Program Fund's capital assets to the Pocantico Fund.

**Asian Cultural Council, Inc.** ("ACC") is a not-for-profit, charitable corporation existing under the New York State not-for-profit corporation law and has been determined to be a publicly supported organization as defined in the Internal Revenue Code. ACC provides fellowship awards to Asian and American individuals in the visual and performing arts, and also awards grants to cultural institutions engaged in international exchange projects. The Fund is the sole member of the ACC.

## 2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

The financial statements of the Fund and ACC have been prepared on an accrual basis. The significant accounting policies followed are described below:

**Principles of Combination:** The financial statements of the Fund include ACC of which it is the sole member. The accompanying statement of financial position and related statements of activities and of cash flows, and the schedule of functional expenses, as of December 31, 1998 and 1997, and for the years then ended, are presented on a combined basis to reflect the separate financial position and results of operations of the Fund and ACC. All significant interfund balances and transactions are eliminated in combination.

**Investments:** Investments in securities are carried at quoted market prices. Unrealized gains or losses are determined using quoted market prices at the respective balance sheet dates. Realized gains or losses from sales of securities are determined on a specific identification basis as of the trade date. Security costs are determined on a first-in first-out basis.

Investments in limited partnerships are valued on the basis of the Fund's equity in the net assets of such partnerships. In certain instances, portions of the underlying investment portfolios of the limited partnerships contain non-marketable or thinly traded investments which have been recorded at fair value as determined by management of the limited partnerships. As of December 31, 1998 and 1997, approximately \$20,300,000 and \$19,900,000, respectively, of the Fund's investments in limited partnerships were recorded at fair value as determined by the Fund's management or their designee, which might differ significantly from the market value that would have been used had a ready market for the investment existed.

Investments of the Principal Fund, Pocantico Fund, Ramon Magsaysay Award Foundation Fund, Asian Projects Fund and Pocantico Program Fund are pooled; interest and dividend income and realized and unrealized gains or losses are allocated to each fund using the unitized investment method.

**Grants payable:** Grants are recorded at the time of approval by the trustees and notification to the recipient. The Fund and ACC estimate that the grants payable balance as of December 31, 1998 will be paid as follows:

1999: \$6,253,914    2000: \$2,019,123    2001: \$372,000    2002: \$63,600    2003: \$25,200    Total: \$8,733,837



The net present value of grants payable is not materially different from amounts committed to be paid.

**Tax status:** The Fund is exempt from Federal income tax under Section 501(c)(3) of the Internal Revenue Code and has been classified as a "private foundation." Provision has been made for the Federal excise tax on net investment income.

ACC is exempt from Federal income tax under Section 501(c)(3) of the Internal Revenue Code, and has been determined to be a publicly supported organization.

**Fixed assets:** The Fund capitalizes fixed assets which includes leasehold improvements, furniture and fixtures, and office equipment. Depreciation and amortization of the fixed assets are provided over the following estimated useful service lives: leasehold improvements: life of lease; office equipment: 7 years; computer equipment: 5 years; computer software: 3 years. Fixed assets are presented net of accumulated depreciation and amortization of \$5,442,871 and \$4,376,800, respectively.

**Expenses:** The Fund and ACC report expenses on a functional basis, with all expenses charged either to a particular program or supporting service. Overhead expenses, including occupancy, telephone, and insurance, are allocated to functional areas based upon space used or actual usage, if specifically identifiable. The allocation of salary and related expenses for management and supervision of program service functions are made by management based on the estimated time spent by executives in the various program service functions.

**Use of estimates:** The preparation of financial statements in accordance with generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reported period. Actual results could differ from those estimates.

**Prior year's financial statements:** Certain reclassifications of the 1997 financial information have been made to conform to the 1998 presentation. The financial information presented for 1997 in the accompanying financial statements is intended to provide a basis for comparison and reflects summarized totals only.

### 3. INVESTMENTS

Investments at December 31, 1998 and 1997 are summarized as follows:

	December 31, 1998			December 31, 1997	
	Cost	Unrealized Appreciation/ (Depreciation)	Market	Cost	Market
Short-term investments	\$22,982,112	\$25,019	\$23,007,131	\$24,000,075	\$24,000,761
Stocks	260,993,981	45,349,644	306,343,625	237,041,598	284,899,654
Bonds	114,752,087	(285,137)	114,466,950	106,623,193	109,086,890
Limited partnerships	37,483,716	(6,111,987)	31,371,729	32,998,991	32,908,626
Foreign currency fluctuations	-	-	-	-	(4,523)
	<u>\$436,211,896</u>	<u>\$38,977,539</u>	<u>\$475,189,435</u>	<u>\$400,663,857</u>	<u>\$450,891,408</u>

The cost of investments in each fund at December 31, 1998 and 1997 is as follows:

	December 31, 1998	December 31, 1997
Principal Fund	\$343,982,618	\$311,271,383
Pocantico Fund	55,487,395	52,158,386
Ramon Magsaysay Award Foundation Fund	3,677,471	3,398,311
Asian Projects Fund	3,240,840	2,980,206
Pocantico Program Fund	1,411,270	1,282,787
Asian Cultural Council, Inc.	28,412,302	29,572,784
	<u>\$436,211,896</u>	<u>\$400,663,857</u>

### 4. PROGRAM-RELATED INVESTMENTS

The Fund's program-related investments have limited or no marketability and are stated at the lower of cost or estimated fair value. The Fund's real estate has been leased rent-free to a not-for-profit organization under the terms of an agreement which expires in the year 2056.

In February 1994, the Fund entered into a loan agreement with the Ramon Magsaysay Award Foundation ("RMAF") which authorized RMAF to borrow up to three million dollars during the period the loan commenced through December 31, 1995. The underlying promissory note bears interest on the unpaid principal at the rate of 6 percent per year; such interest accrued beginning January 1, 1995. Payment of principal of \$120,000 and related interest is to be made annually over the term of the loan and on December 31, 2019, the outstanding balance will be payable in full. The Fund had loaned RMAF the full amount authorized as of December 31, 1995 and received the appropriate repayments of principal and interest in the years ended December 31, 1995 through 1997. For 1998, the principal repayment was reduced, with the agreement of the Fund, to \$75,000 per annum with the balance due in 2019.

## 5. PENSION PLAN

The Fund and ACC participate in the Retirement Income Plan for Employees of Rockefeller Brothers Fund, Inc., et al., a noncontributory defined benefit plan covering substantially all its employees. The Fund's and ACC's policy is to make contributions to maintain the plan on a sound financial basis.

The following table sets forth the plan's funded status and amounts recognized in the financial statements at December 31, 1998 and 1997 and for the years then ended:

Actuarial present value of benefit obligations:	1998	1997
Accumulated benefit obligation	\$3,701,062	\$3,402,740
Projected benefit obligation for services rendered to date	\$5,076,589	\$4,818,624
Plan assets at fair value	4,879,664	5,343,885
Funded status	(196,925)	525,261
Unrecognized prior service cost	(44,271)	(46,078)
Unrecognized net gain from past experience different from that assumed and effects of changes in assumptions	791,061	165,115
Unamortized transitional net asset	(208,563)	(280,466)
Prepaid pension cost included in prepaid expenses	\$341,302	\$363,832
Net pension cost included the following components:		
Service cost—benefits earned during period	\$349,611	\$278,495
Interest cost on projected benefit obligation	337,304	291,800
Actual return on plan assets	(480,950)	(458,817)
Net amortization and deferral	(29,854)	(3,127)
Net periodic pension cost	\$176,111	\$108,351

The weighted-average discount rate and rate of increase in future compensation levels used in determining the actuarial present value of the projected benefit obligation were 6.5 percent and 4.5 percent in 1998 and 7.0 percent and 5.0 percent in 1997, respectively. The expected long-term rate of return on assets was 9 percent in 1998 and 1997.

## 6. POSTRETIREMENT HEALTHCARE BENEFITS

In addition to providing pension benefits, the Fund provides certain healthcare benefits for retired employees. Substantially all of the Fund's and ACC's employees may become eligible for these benefits if they reach age 55 while employed by the Fund and have accumulated at least five years of service. Such benefits are provided through an insurance company.

The following table sets forth the plan's status as of December 31, 1998 and 1997:

	1998	1997
Accumulated postretirement benefit obligation ("APBO")	\$1,238,000	\$1,111,000
Unrecognized net gain	300,000	324,000
Accrued postretirement benefit cost	\$1,538,000	\$1,435,000

The net periodic postretirement benefit cost included the following components:

	1998	1997
Service retirement cost	\$72,000	\$59,000
Interest cost	84,000	70,000
Amortization of unrecognized gain	(6,000)	(18,000)
Net periodic postretirement benefit cost	\$150,000	\$111,000

Actual retiree premiums paid by the Fund and ACC during 1998 and 1997 amounted to \$47,000 and \$34,000, respectively.



The discount rate assumed in determining the APBO was 6.5 percent in 1998 and 7.0 percent in 1997. The medical cost trend rates assumed were 9 percent and declining to 5 percent over a five-year period for 1998 and 1997. Increasing the assumed medical cost trend rate by 1 percent each year would result in increases in both the APBO and the net periodic postretirement cost of approximately \$208,000 and \$31,000 in 1998 and \$195,000 and \$40,000 in 1997, respectively.

## 7. RELATED PARTY TRANSACTIONS

The Fund paid Rockefeller and Co., Inc., fees of approximately \$195,000 and \$197,900 in 1998 and 1997, respectively, as one of its investment advisors and fees of \$50,000 and \$47,000 in 1998 and 1997, respectively, for the management of the Fund's qualified pension plans and other services. The Fund was reimbursed approximately \$220,000 in 1998 and in 1997, for the fair value of certain expenses, including accounting and occupancy, by the Rockefeller Family Fund, Inc. The Fund was also reimbursed \$320,000 and \$11,000 in 1998 and \$283,000 and \$7,000 in 1997 for the fair value of certain expenses, including accounting and occupancy, by ACC and the David Rockefeller Fund, respectively.

The Fund paid fees in 1998 and 1997 of approximately \$1,160,000 and \$1,251,000, respectively, for maintenance of the Pocantico properties to Greenrock Corporation, which is wholly owned by Rockefeller family members.

## 8. FEDERAL TAXES

As a private foundation, the Fund is assessed an excise tax by the Internal Revenue Code. This tax is generally equal to 2 percent of net investment income; however, it is reduced to 1 percent if a foundation meets certain distribution requirements under Section 4940(e) of the Internal Revenue Code. For 1998 and 1997, the Fund provided for taxes on net investment income at the rate of 2 percent.

## 9. COMMITMENTS

The Fund, together with its affiliates, occupies office facilities which provide for minimum annual rental commitments excluding escalation as follows:

Fiscal Year			
1999: \$775,000	2000-2004: \$5,716,000	2005-2009: \$6,099,000	2010-2012: \$3,769,000

On January 1, 1998, the Fund entered into a new lease agreement and relocated its offices in June 1998. Effective January 1, 1999, the Fund leased additional space to expand its offices. The terms of the two leases for the Fund's offices expire in December, 2012 with one five-year renewal option.

On January 1, 1992, the Fund entered into a formal arrangement with the National Trust for Historic Preservation in the United States, whereby the Fund assumes the costs associated with maintenance and operations of the Pocantico Historic Area, including all utilities, real estate and other taxes, and impositions assessed against the property. In 1998 and 1997, these costs aggregated approximately \$1,486,000 and \$1,533,000, respectively. Under the same agreement, the Fund agreed to conduct a program of public visitation of the Pocantico Historic Area. Historic Hudson Valley was engaged by the Fund to operate this program on its behalf. The public visitation program commenced in April 1994.

## 10. SUBSEQUENT EVENTS

During 1998, the Fund agreed to merge with the Charles E. Culpeper Foundation, subject to satisfying certain legal and regulatory requirements. The Culpeper Foundation is a tax-exempt private grantmaking foundation incorporated in New York. On April 23, 1999, the Attorney General of the State of New York indicated that it had no objection to the merger. On April 27, 1999, the Supreme Court of the County of New York issued an order approving the plan of merger and authorizing the two foundations to file a certificate of merger with the Secretary of State of New York. The foundations plan to file the certificate of merger with the Secretary of State on June 1, 1999 with an effective date of July 1, 1999 for the merger. The surviving entity will be known as the Rockefeller Brothers Fund, Inc.

## 11. ASIAN CULTURAL COUNCIL, INC.

Summarized financial results of the Asian Cultural Council, Inc. for the year ended December 31, 1998 and 1997 are presented below:

	1998				1997			
	Unrestricted	Temporarily restricted	Permanently restricted	Total	Unrestricted	Temporarily restricted	Permanently restricted	Total
Net assets, beginning of year	\$17,546,000	\$5,295,564	\$12,831,913	\$35,673,477	\$5,244,732	\$4,998,768	\$12,813,111	\$23,056,611
Total support and revenue	\$4,209,948	\$1,253,479	\$ -	\$5,463,427	\$13,959,958	\$1,832,594	\$18,802	\$15,811,354
Net assets released from restriction	1,458,610	(1,458,610)	-	-	1,535,798	(1,535,798)	-	-
Program expenses	(2,697,921)	-	-	(2,697,921)	(2,708,168)	-	-	(2,708,168)
General management expenses	(505,038)	-	-	(505,038)	(486,320)	-	-	(486,320)
Change in net assets	2,465,599	(205,131)	-	2,260,468	\$12,301,268	\$296,796	\$18,802	\$12,616,866
Net assets, end of year	\$20,011,599	\$5,090,433	\$12,831,913	\$37,933,945	\$17,546,000	\$5,295,564	\$12,831,913	\$35,673,477

All contributions are considered to be available for unrestricted use unless specifically restricted by the donor. Unrestricted net assets represent resources over which the Board of Trustees has full discretion with respect to use. Temporarily restricted net assets represent expendable resources which have been time or purpose restricted by the donor. When a donor restriction expires, that is, when a stipulated time restriction ends or a purpose restriction is accomplished, temporarily restricted net assets are reclassified to unrestricted net assets and reported in the statement of activities as net assets released from restrictions.

Permanently restricted net assets represent contributions and other gifts which require that the corpus be maintained intact and that only the income be used as designated by the donor. Depending upon the donor's designation, such income is reflected in the statement of activities as either temporarily restricted or unrestricted income.



**EXHIBIT I: SCHEDULE OF FUNCTIONAL EXPENSES**

For the Year Ended December 31, 1998 with Comparative 1997 Totals

**ROCKEFELLER BROTHERS FUND ("RBF")**

	Direct Charitable Activities						RBF Total 1998	Asian Cultural Council, Inc.	Combined Total 1998
	General Programs	Pocantico Fund	Pocantico Program Fund	Program and Grant Management	Investment Management	General Management			
<b>SALARIES AND EMPLOYEE BENEFITS</b>									
Salaries	\$410,625	\$268,559	\$ -	\$1,199,318	\$82,487	\$798,572	\$2,759,561	\$607,423	\$3,366,984
Employee benefits	165,788	67,477	-	554,262	34,617	347,707	1,169,851	225,109	1,394,960
	576,413	336,036	-	1,753,580	117,104	1,146,279	3,929,412	832,532	4,761,944
<b>OTHER EXPENSES</b>									
Grants awarded	-	-	-	14,623,498	-	-	14,623,498	1,238,547	15,862,045
Fellowship and leadership program expenses	146,053	-	-	-	-	-	146,053	-	146,053
Federal excise and other taxes (Notes 2 and 8)	-	-	-	-	-	980,861	980,861	41,086	1,021,947
Consultants' fees	71,861	2,830	-	79,878	19,793	97,732	272,094	123,919	396,013
Investment services	-	-	-	-	2,134,853	-	2,134,853	253,393	2,388,246
Legal, audit and professional fees	4,730	11,831	-	40,057	23,932	136,567	217,117	153,565	370,682
Travel	70,583	13,169	-	233,161	3,654	120,661	441,228	51,237	492,465
Rent and electricity	75,653	-	-	306,322	16,221	237,696	635,892	128,021	763,913
Program conferences and events	58,692	-	58,338	-	-	-	117,030	146,066	263,096
Facilities maintenance and operations (Note 9)	-	1,485,884	-	-	-	-	1,485,884	23,807	1,509,691
Telephone, facsimile and internet	11,032	16,070	-	39,260	2,804	34,983	104,149	16,025	120,174
General office expenses	78,937	91,827	-	214,115	12,321	295,312	692,512	122,646	815,158
Publications	121,706	-	-	-	-	151,923	273,629	25,729	299,358
Fundraising expenses	-	-	-	-	-	-	-	35,009	35,009
Depreciation and amortization	34,990	536,509	-	168,431	33,111	281,547	1,054,588	11,377	1,065,965
	\$1,250,650	\$2,494,156	\$58,338	\$17,458,302	\$2,363,793	\$3,483,561	\$27,108,800	\$3,202,959	\$30,311,759

**EXHIBIT I: SCHEDULE OF FUNCTIONAL EXPENSES**
*(continued)*

	1997 RBF Funds	1997 Asian Cultural Council, Inc.	Combined Total 1997
<b>SALARIES AND EMPLOYEE BENEFITS</b>			
Salaries	\$2,772,045	\$579,448	\$3,351,493
Employee benefits	937,743	218,366	1,156,109
	<u>3,709,788</u>	<u>797,814</u>	<u>4,507,602</u>
<b>OTHER EXPENSES</b>			
Grants awarded	10,635,744	1,494,769	12,130,513
Fellowship and leadership program expenses	176,168	-	176,168
Federal excise and other taxes (Notes 2 and 8)	1,170,092	22,479	1,192,571
Consultants' fees	406,790	133,964	540,754
Investment services	1,825,344	184,417	2,009,761
Legal, audit and professional fees	216,268	151,825	368,093
Travel	470,200	90,473	560,673
Rent and electricity	661,691	131,822	793,513
Program conferences and events	113,630	4,273	117,903
Facilities maintenance and operations (Note 9)	1,533,469	25,501	1,558,970
Telephone, facsimile and internet	97,010	19,885	116,895
General office expenses	545,248	106,080	651,328
Publications	135,541	20,786	156,327
Fundraising expenses	-	-	-
Depreciation and amortization	860,387	10,400	870,787
	<u>\$22,557,370</u>	<u>\$3,194,488</u>	<u>\$25,751,858</u>



## Endowment Management

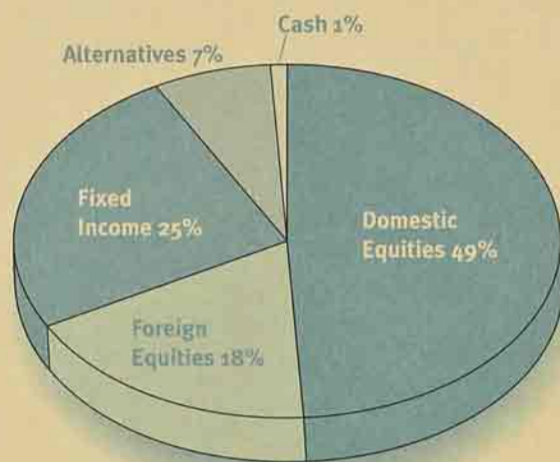
The overall objective of the management of the Fund's endowment assets is to provide a relatively stable stream of spendable revenue that increases over time at least as fast as the general rate of inflation, as measured by the Consumer Price Index. If this is to be achieved over the long term, the real (inflation-adjusted) value of endowment assets must be preserved net of annual distributions.

The trustees of the Fund, through the Finance Committee, delegate investment decisions to investment managers who operate within investment policies established by the trustees.

The investment policies require that the endowment be diversified both by asset class and within asset classes, so that no single security or class of securities will have a disproportionate impact on the performance of the total endowment. At the end of 1998 the Fund's portfolio was managed by five domestic equity managers, four foreign or global equity managers, and two fixed income managers, representing a range of both types of investments and styles of investing. In addition, in the category of alternative investments the Fund participates in venture capital, buy-out fund, distressed securities, and real estate limited partnerships.

On December 31, 1998, the market value of the Fund's investments (not including the endowment of the Asian Cultural Council) was \$437,602,802, compared with \$414,842,670 on December 31, 1997. The accompanying chart sets forth the asset allocation at year end. The total return on the Fund's marketable securities portfolio in 1998 was 8.5 percent, compared to 28.6 percent for the Standard and Poor's 500 Index; 20 percent for the Morgan Stanley Capital International's Europe, Asia and the Far East (EAFE) Index; and 9.5 percent for the Lehman Brothers Government/Corporate Bond Index.

In 1998, the Finance Committee continued to increase the diversification of the Fund's portfolio. A portion of the domestic equity allocation was committed to a small-cap growth manager, and alternative investments were increased through the addition of two venture capital funds and one secondaries fund.



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